

FUNDING AVAILABILITY FOR THE HOUSING COUNSELING PROGRAM**Program Overview**

Purpose of the Program. The purpose of this program is to provide comprehensive housing counseling through national, regional, multi-state housing counseling agencies, State housing finance agencies, and local HUD-approved housing counseling agencies. Counseling assists homebuyers, homeowners, and tenants to meet their housing needs and resolve their housing problems.

Available Funds. Approximately \$13.1 million.

Eligible Applicants. (1) HUD-approved national, regional, or multi-state intermediaries; (2) HUD-approved local housing counseling agencies; and (3) State housing finance agencies.

Application Deadline. **May 16, 2000.**

Match. None.

ADDITIONAL INFORMATION

If you are interested in applying for funding under this program, please review carefully the **General Section** of this SuperNOFA and the following additional information.

I. Application Due Date, Application Kits, Further Information, and Technical Assistance

Application Due Date. If you are a Local Housing Counseling Agency or a State Housing Finance Agency you must submit a completed application on or before 6:00 pm, local time, on May 16, 2000, to the Homeownership Center designated below.

If you are a National, Regional or Multi-State Housing Counseling Intermediary, you must submit a completed application on or before 12:00 midnight, Eastern time, on May 16, 2000, to the HUD Headquarters Office designated below.

See the **General Section** of this SuperNOFA for specific procedures

governing the form of application submission (e.g., mailed applications, express mail, overnight delivery, or hand carried).

Addresses for Submitting Applications. If you are a Local Housing Counseling Agency or State Housing Finance Agency, your completed application consists of an original and two copies. Send your completed application to the respective HUD Homeownership Center (HOC) having jurisdiction over the locality, area or State in which your proposed program is located. Your application should be sent to the attention of the Program Support Division Director, and the envelope should be clearly marked "FY 2000 Housing Counseling Application". A list of the HUD Homeownership Centers, including their field office and State jurisdictions, and the Program Support Division Directors appears below and in the Application Kit.

| <u>Homeownership Center</u> | <u>Field Office</u> | <u>States</u> |
|--|--|--|
| <u>PHILADELPHIA</u> <u>HOMEOWNERSHIP CENTER</u> Mr. Michael Perretta The Wanamaker Building 100 Penn Square East Philadelphia, PA 19107-3380 Contact: Robert Wright (215) 656-0527 x3406 | Albany, Baltimore, Bangor, Boston, Buffalo, Burlington, Camden, Charleston, Cincinnati, Cleveland, Columbus, Detroit, Flint, Grand Rapids, Hartford, Manchester, New York, Newark, Philadelphia, Pittsburgh, Providence, Richmond, Washington, DC, Wilmington | Connecticut, Delaware, District of Columbia, Maine, Maryland, Massachusetts, Michigan, New Hampshire, New Jersey, New York, Ohio, Pennsylvania, Rhode Island, Vermont, Virginia, West Virginia |
| <u>ATLANTA</u> <u>HOMEOWNERSHIP CENTER</u> Ms. Gayle Knowlson 40 Marietta Street, 8th Floor Atlanta, GA 30303-2806 Contact: Fellece Sawyer-Coleman (404) 331-5001, x2675 | Atlanta, Birmingham, Caribbean, Chicago and Springfield, Columbia, Coral Gables, Greensboro, Indianapolis, Jackson, Jacksonville, Knoxville, Louisville, Memphis, Nashville, Orlando, Tampa | Alabama, Puerto Rico, Florida, Georgia, Illinois, Indiana, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee |
| <u>DENVER</u> <u>HOMEOWNERSHIP CENTER</u> Ms. Jane Hall Wells Fargo Building 633 17th Street Denver, CO 80202-3607 Contact: Irma Devich (303) 672-5216 x 1980 | Albuquerque, Denver (Casper, Fargo, Sioux Falls), Dallas, Des Moines, Denver, Fort Worth, Helena, Houston, Kansas City, Little Rock, Lubbock, Milwaukee, Minneapolis, New Orleans, Oklahoma City, Omaha, Salt Lake City, San Antonio, Shreveport, St. Louis, Tulsa | Arkansas, Colorado, Iowa, Kansas, Louisiana, Minnesota, Missouri, Montana, Nebraska, New Mexico, North Dakota, Oklahoma, South Dakota, Texas, Utah, Wisconsin, Wyoming |
| <u>SANTA ANA</u> <u>HOMEOWNERSHIP CENTER</u> Mr. Jerrold Mayer 1600 N. Broadway Suite 100 Santa Ana, CA 92706-3927 Contact: Rhonda J. Rivera, Chief 1-888-827-5605 (714) 796-1200 x 3210 | Anchorage, Boise, Fresno, Honolulu, Boise, Fresno, Las Vegas, Los Angeles, Phoenix, Portland, Reno Sacramento, San Diego, San Francisco, Santa Ana, Seattle, Spokane, Tucson, | Alaska, Arizona, California, Hawaii, Oregon, Idaho, Nevada, Washington |

If you are a National, Regional or Multi-State Housing Counseling Intermediary, your completed application also consists of an original and two copies. Submit your completed application to Director, Program Support Division, Office of Single Family Housing, HUD Headquarters, 451 Seventh Street, S.W., Washington, DC 20410, Room 9166. The envelope should be clearly marked, "FY 2000 Intermediary Application".

Application Kits. For an application kit and any supplemental materials, please call the SuperNOFA Information Center at 1-800-HUD-8929. Persons with hearing or speech impairments may call the Center's TTY number at 1-800-HUD-2209. The application kit also will be available on the Internet through the HUD web site at <http://www.hud.gov>. When requesting an application kit, please refer to the Housing Counseling Program. The SuperNOFA Information Center can provide you with assistance in determining which HUD locations should receive a copy of your application.

For Further Information and Technical Assistance. If you are a local housing counseling agency or State housing finance agency, you may call the HUD Homeownership Center serving your area. If you are a national, regional, or multi-state intermediary, you may call HUD Headquarters, Program Support Division at (202) 708-0317 (this is not a toll-free number). Persons with hearing or speech impairments may access this number via TTY by calling the toll-free Federal Information Relay Service at 1-800-877-8339. Please see above and your application kit for a list of offices and telephone numbers you can call to receive assistance. Before the application deadline, HUD staff will be available to provide general guidance.

Satellite Broadcast. HUD will hold an information broadcast via satellite for potential applicants to learn more about the program and preparation of the application. For more information about the date and time of the broadcast, you

should consult the HUD web site at <http://www.hud.gov>.

II. Amount Allocated

Under this SuperNOFA, \$13.1 million of the \$15 million appropriated is made available for eligible applicants. An allocation of \$900,000 of the \$15 million total in program funding has been set aside for Housing Counseling support, which may include continuation of the Housing Counseling Clearinghouse, and/or other HUD counseling initiatives and activities. An allocation of \$1 million of the \$15 million appropriated is available for the Home Equity Conversion Mortgage (HECM) Program, as provided in section 255(k) of the National Housing Act (12 U.S.C. 1715z-20).

Local housing counseling agencies, State housing finance agencies and national, regional and multi-state intermediaries can apply for a grant only under one of the categories described below. Affiliates and branches of a State housing finance agency or national, regional and multi-state intermediary which are not HUD-approved can apply for a subgrant under either Category 2 or 3, but not both. (The term "affiliate" or "affiliates" includes the term "branch" or "branches" of the affiliate unless otherwise stated.) A HUD-approved local housing counseling agency applying as an affiliate for a subgrant under either Category 2 or 3 cannot apply directly to HUD for separate funding. Only one source of HUD funds is permissible under any of the three categories or within Category 2 or Category 3. For example, an organization affiliated with two or more intermediaries can only apply to one intermediary for a housing counseling subgrant. Another example is an organization affiliated with an intermediary and a State housing finance agency. This organization can apply to either the intermediary or the State housing finance agency for a housing counseling subgrant but not both.

In situations where an applicant submitted an application under two or

more categories or submitted an application to two or more intermediaries within Categories 2 or 3, HUD considers these situations to have curable defects. In either case, a decision must be made by the applicant to affirm one funding source. If two or more applications were submitted then the applicant must select one category or one intermediary within Categories 2 or 3, under which to apply and must withdraw all other applications. If two or more grants were awarded then one grant source must be selected and all others forfeited.

The amount of funds available for suballocation are set forth below in three competing categories.

Applicants must submit an application under the specific category that they are eligible to apply for a grant.

(A) Category 1—Local Housing Counseling Agencies (LHCA).

Approximately \$ 5.6 million has been made available for grants to local HUD-approved housing counseling agencies. Funding is allocated to each HUD field office jurisdiction by a formula that reflects the increased emphasis on the expansion of homeownership opportunities for first-time homebuyers and HUD's intent to ensure appropriate geographical distribution of program funds. For FY 2000, no individual local housing counseling agency may be awarded more than \$100,000.

A local HUD-approved housing counseling agency may apply for a grant to HUD, or a subgrant to a state housing finance agency, as an affiliate, or a subgrant to a national, regional, and multi-state intermediary as an affiliate. However, the local HUD-approved housing counseling agency can apply for only one grant or subgrant under any of the three categories or within Category 2 or 3. Furthermore, the agency must disclose in its application if it has applied for more than one source of HUD funds.

Allocation for use in local agency programs by HUD Homeownership Centers are as follows:

| HUD Field Office | Default Data | | First Time Homebuyer Data | | | | |
|---------------------------------------|-----------------|---------------------|---------------------------|------------------|-----------------------|-------------------|------------------|
| | No. of Defaults | % of Nat'l Defaults | Allocation Amount | No. of 1st Timer | % of Nat'l 1st Timers | Allocation Amount | Total Allocation |
| HUD Homeownership Center/Jurisdiction | | | | | | | |
| PHILADELPHIA HOC | | | | | | | |
| Albany | 3495 | 1.16% | 32,427 | 7,837 | 1.06% | 29,567 | 61,993 |
| Baltimore | 8271 | 2.74% | 76,738 | 19,419 | 2.62% | 73,263 | 150,001 |
| Bangor | 480 | 0.16% | 4,453 | 2,306 | 0.31% | 8,700 | 13,153 |
| Boston | 1673 | 0.55% | 15,522 | 8,406 | 1.13% | 31,714 | 47,236 |
| Buffalo | 4073 | 1.35% | 37,789 | 6,635 | 0.89% | 25,032 | 62,821 |
| Burlington | 81 | 0.03% | 752 | 437 | 0.06% | 1,649 | 2,400 |
| Camden | 5099 | 1.69% | 47,308 | 9,339 | 1.26% | 35,234 | 82,542 |
| Charleston | 343 | 0.11% | 3,182 | 1,423 | 0.19% | 5,369 | 8,551 |
| Cincinnati | 2390 | 0.79% | 22,174 | 7,816 | 1.05% | 29,488 | 51,662 |
| Cleveland | 4518 | 1.50% | 41,918 | 9,315 | 1.26% | 35,143 | 77,061 |
| Columbus | 2894 | 0.96% | 26,850 | 8,269 | 1.11% | 31,197 | 58,047 |
| Detroit | 6203 | 2.06% | 57,551 | 14,350 | 1.93% | 54,139 | 111,690 |
| Flint | 1237 | 0.41% | 11,477 | 2,757 | 0.37% | 10,401 | 21,878 |
| Grand Rapids | 2386 | 0.79% | 22,137 | 6,846 | 0.92% | 25,828 | 47,965 |
| Hartford | 2251 | 0.75% | 20,885 | 9,280 | 1.25% | 35,011 | 55,896 |
| Manchester * | 427 | 0.14% | 3,962 | 2,956 | 0.40% | 11,152 | 15,114 |
| *(NH, MA, VT) | | | | | | | |
| New York | 6256 | 2.07% | 58,043 | 13,720 | 1.85% | 51,762 | 109,805 |
| Newark | 3623 | 1.20% | 33,614 | 12,014 | 1.62% | 45,326 | 78,940 |

| HUD Field Office | Default Data | | First Time Homebuyer Data | | | |
|---------------------------------------|-----------------|---------------------|---------------------------|------------------|-----------------------|-------------------|
| | No. of Defaults | % of Nat'l Defaults | Allocation Amount | No. of 1st Timer | % of Nat'l 1st Timers | Allocation Amount |
| HUD Homeownership Center/Jurisdiction | | | | | | Total Allocation |
| Philadelphia * | 7519 | 2.49% | 69,761 | 17,587 | 2.37% | 66,351 |
| (* DE) | | | | | | 136,112 |
| Pittsburgh | 1969 | 0.65% | 18,268 | 5,975 | 0.81% | 22,542 |
| Providence | 616 | 0.20% | 5,715 | 2,924 | 0.39% | 11,031 |
| Richmond | 7908 | 2.62% | 73,370 | 16,517 | 2.23% | 62,314 |
| Washington DC | 8540 | 2.83% | 79,234 | 20,511 | 2.76% | 77,383 |
| Wilmington | 739 | 0.24% | 6,856 | 2,329 | 0.31% | 8,787 |
| | | | | | | 15,643 |
| Phil. HOC Subtotal | 82991 | 27.50% | 769,988 | 208,968 | 28.16% | 788,381 |
| | | | | | | 1,558,369 |
| ATLANTA HOC | | | | | | |
| Atlanta | 12817 | 4.25% | 118,916 | 25,914 | 3.49% | 97,767 |
| Birmingham | 5070 | 1.68% | 47,039 | 8,164 | 1.10% | 30,801 |
| Caribbean | 5232 | 1.73% | 48,542 | 10,181 | 1.37% | 38,410 |
| Chicago | 12124 | 4.02% | 112,486 | 27,471 | 3.70% | 103,641 |
| Columbia | 3306 | 1.10% | 30,673 | 4,309 | 0.58% | 16,257 |
| Coral Gables | 11619 | 3.85% | 107,801 | 20,915 | 2.82% | 78,907 |
| Greensboro | 5340 | 1.77% | 49,544 | 14,575 | 1.96% | 54,988 |
| Indianapolis | 5591 | 1.85% | 51,873 | 16,272 | 2.19% | 61,390 |
| Jackson | 3349 | 1.11% | 31,072 | 4,051 | 0.55% | 15,283 |
| | | | | | | 46,355 |

| HUD Field Office | Default Data | | First Time Homebuyer Data | | | |
|--|-----------------|---------------------|---------------------------|------------------|-----------------------|------------------|
| | No. of Defaults | % of Nat'l Defaults | Allocation Amount | No. of 1st Timer | % of Nat'l 1st Timers | Total Allocation |
| HUD Homeownership Center/Jurisdiction | | | | | | |
| Jacksonville | 3164 | 1.05% | 29,356 | 6,388 | 0.86% | 53,456 |
| Knoxville | 2074 | 0.69% | 19,243 | 4,118 | 0.55% | 34,779 |
| Louisville | 1670 | 0.55% | 15,494 | 6,495 | 0.88% | 39,998 |
| Memphis | 8082 | 2.68% | 74,985 | 6,912 | 0.93% | 101,062 |
| Nashville | 2885 | 0.96% | 26,767 | 6,335 | 0.85% | 50,667 |
| Orlando | 5398 | 1.79% | 50,083 | 11,339 | 1.53% | 92,862 |
| Springfield | 1033 | 0.34% | 9,584 | 3,643 | 0.49% | 23,328 |
| Tampa | 4993 | 1.65% | 46,325 | 11,209 | 1.51% | 88,614 |
| | | | | | | |
| Atlanta HOC Subtotal | 93747 | 31.06% | 869,782 | 188,291 | 25.37% | 1,580,154 |
| | | | | | | |
| DENVER HOC | | | | | | |
| Albuquerque | 1400 | 0.46% | 12,989 | 4,351 | 0.59% | 29,404 |
| Casper | 442 | 0.15% | 4,101 | 1,490 | 0.20% | 9,722 |
| Dallas | 6382 | 2.11% | 59,212 | 13,743 | 1.85% | 111,061 |
| Denver * | 4279 | 1.42% | 39,700 | 21,240 | 2.86% | 119,833 |
| *(WY, ND, SD) | | | | | | |
| Des Moines | 800 | 0.27% | 7,422 | 4,198 | 0.57% | 23,260 |
| Fargo | 562 | 0.19% | 5,214 | 2,195 | 0.30% | 13,495 |
| Ft Worth | 5845 | 1.94% | 54,230 | 13,549 | 1.83% | 105,347 |

| HUD Field Office | Default Data | | First Time Homebuyer Data | | | |
|---------------------------------------|-----------------|---------------------|---------------------------|------------------|-----------------------|------------------|
| | No. of Defaults | % of Nat'l Defaults | Allocation Amount | No. of 1st Timer | % of Nat'l 1st Timers | Total Allocation |
| HUD Homeownership Center/Jurisdiction | | | | | | |
| Helena | 705 | 0.23% | 6,541 | 1,771 | 0.24% | 13,222 |
| Houston | 5864 | 1.94% | 54,406 | 12,627 | 1.70% | 102,044 |
| Kansas City | 3007 | 1.00% | 27,899 | 8,337 | 1.12% | 59,352 |
| Little Rock | 3609 | 1.20% | 33,484 | 5,859 | 0.79% | 55,589 |
| Lubbock | 2907 | 0.96% | 26,971 | 5,903 | 0.80% | 49,242 |
| Milwaukee | 1148 | 0.38% | 10,651 | 4,120 | 0.56% | 26,195 |
| Minneapolis | 5007 | 1.66% | 46,455 | 14,160 | 1.91% | 99,877 |
| New Orleans | 3869 | 1.28% | 35,896 | 8,797 | 1.19% | 69,085 |
| Oklahoma City | 2528 | 0.84% | 23,455 | 6,833 | 0.92% | 49,234 |
| Omaha | 1396 | 0.46% | 12,952 | 5,206 | 0.70% | 32,593 |
| Salt Lake City | 2477 | 0.82% | 22,982 | 9,081 | 1.22% | 57,242 |
| San Antonio | 6276 | 2.08% | 58,229 | 16,811 | 2.27% | 121,652 |
| Shreveport | 1781 | 0.59% | 16,524 | 2,325 | 0.31% | 25,296 |
| Sioux Falls | 317 | 0.11% | 2,941 | 1,964 | 0.26% | 10,351 |
| St Louis | 3832 | 1.27% | 35,553 | 7,385 | 1.00% | 63,415 |
| Topeka | 1251 | 0.41% | 11,607 | 3,731 | 0.50% | 25,683 |
| Tulsa | 1454 | 0.48% | 13,490 | 4,226 | 0.57% | 29,434 |
| | | | | | | |
| Denver HOC Subtotal | 67138 | 22.25% | 622,905 | 179,902 | 24.24% | 1,301,627 |
| | | | | | | |

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(B) *Category 2—National, Regional, and Multi-State Intermediaries.* Approximately \$6.5 million is being set aside to fund HUD-approved national, regional and multi-state intermediaries that apply for funding under this SuperNOFA. There is no cap on the amount that national, regional, or multi-State intermediaries or its affiliates may receive.

A national, regional and multi-state intermediary may provide a subgrant to an affiliate, but not to an affiliate that applies directly to HUD or a State housing finance agency or another intermediary in Category 2. An affiliate must disclose in its application if it has applied for more than one source of HUD funds.

(C) *Category 3—State Housing Finance Agencies (SHFA).* Approximately \$1 million is being set aside to fund State housing finance agencies, that have a role as a housing counseling agency and/or as an intermediary to affiliates, offering housing counseling services. (State housing finance agencies are defined in 24 CFR 266.5 under the definition of "housing finance agency"). The amount of funding available to each of the four HUD Homeownership Center jurisdictions is as follows:

| Homeownership center | Funding allocation |
|------------------------|--------------------|
| Atlanta, GA | \$254,285 |
| Denver, CO | 254,285 |
| Philadelphia, PA | 267,145 |
| Santa Ana, CA | 224,285 |
| Total | 1,000,000 |

There is no cap on the amount that a State housing finance agency, or its affiliates, may receive. A State housing finance agency may provide a subgrant to an affiliate, but not to an affiliate that applies to HUD or a national, regional, and multi-state intermediary or another State housing finance agency. An affiliate must disclose in its application if it has applied for more than one source of HUD funds.

(1) *Remaining and Deobligated Funds/Reallocations.* If funds remain after HUD has funded all approvable grant applications in its Homeownership Center jurisdictions, or Headquarters, or if any funds become available due to deobligation, that amount will be retained by HUD for future housing counseling use or HUD may use that amount (or any part thereof) by allocating it to another HUD office jurisdiction, and/or another suballocation category.

(2) *Funding Levels.* The Factors for Award will be used to evaluate your

application for funding. If you are a successful applicant, HUD requires that you participate in negotiations to determine the specific grant amount and the terms of the grant agreement. HUD will follow the negotiation procedures described in Section III(D) of the **General Section** of the SuperNOFA. Housing Counseling grants are fundable for a period of twelve (12) calendar months. This period may begin from the date that your award is executed by HUD, or may begin on a date that is not more than 90 days prior to the date that you are notified of your award, which beginning date shall be determined by HUD.

(3) *Funding Methodology.* As described below, in Section V(B) of this program section of the SuperNOFA, the Factors for Award will be used to evaluate your application and a maximum of 102 points may be awarded for each application. Only applicants who receive at least 50 points out of the 102 will be considered eligible for funding. All eligible applicants will then be funded in proportion to the score they receive. Specifically, the points received by all eligible applicants within a particular allocation or suballocation will be totaled together and this sum will be divided into the dollar amount available for that allocation or suballocation. The resulting amount is the dollar value per point. This value will then be multiplied by each applicant's score to arrive at that applicant's dollar award. For example, within the Philadelphia HOC, local housing counseling agencies falling within the Albany field office jurisdiction will compete for an allocation of \$61,993. If ten agencies apply for funding and the individual scores of the eligible applicants total up to 800 points, then \$61,993 will be divided by 800 to arrive at a per point value of approximately \$77.49, resulting in a grant of approximately \$7,749.00 to an applicant that had received 100 points for its application. However, an applicant cannot receive more funding than the amount for which the applicant applies or more than the amount listed in the applicant's proposed budget.

III. Program Description; Eligible Applicants; Eligible Activities

(A) *Program Description.* HUD-approved housing counseling agencies provide counseling and advice to tenants and homeowners on property maintenance, financial management, and other matters appropriate to assist tenants and homeowners in improving their housing conditions and meeting responsibilities of tenancy and homeownership. In addition, HUD-

approved housing counseling agencies conduct community outreach activities and provide counseling to individuals, including persons with visual or hearing impairments or other disabilities, with the objective of increasing awareness of homeownership opportunities and improving access of low and moderate income households to sources of mortgage credit. HUD believes that this activity is key to the revitalization and stabilization of low income and minority neighborhoods. Agencies assist first-time homebuyers by offering Homebuyer Education and Learning Program (HELP) training sessions. Agencies also meet the counseling needs of eligible persons 62 or older who desire to use the Home Equity Conversion Mortgage (HECM) to convert their equity into a lump sum payment or an income stream that can be used for home improvements, medical costs, and/or living expenses.

(B) *Eligible Applicants.* Under the Housing Counseling Program, HUD contracts with qualified public or private nonprofit organizations to provide housing counseling services. There are three categories of applicants which are eligible to submit applications:

(1) *HUD-approved national, regional, or multi-state intermediaries.* If you are a HUD-approved national, regional, or multi-state intermediary, your primary activity is to manage the use of HUD housing counseling funds. This includes the distribution of housing counseling funding to affiliated local housing counseling agencies. Your local affiliates are eligible to undertake any or all of the housing counseling activities, described for HUD-approved local housing counseling agencies. Local affiliates receiving funding through your organization do not need to be HUD-approved in order to receive funds from you. However, your intermediary organization must be HUD-approved as of the date of this SuperNOFA. You must identify all of your affiliates in your application, and designate those affiliates that will be seeking a subgrant. If your affiliate is not HUD-approved, you must certify the quality of services provided will meet, or exceed, standards for local HUD-approved housing counseling agencies.

As a selected intermediary, you must distribute at least 90 percent of your award funds to your housing counseling affiliates. The amount you request should reflect anticipated operating needs for housing counseling activities, based upon the counseling experience during FY 1999 and your current capacity. As an intermediary, the amount you request should reflect your

best estimate of costs to oversee and fund your housing counseling affiliates. This best estimate should not exceed ten percent (10%) of the total grant amount.

HUD will give you wide discretion to implement your housing counseling program with your affiliates. You must execute subgrant agreements with your affiliates that clearly delineate the mutual responsibilities for program management and appropriate time frames for reporting results to HUD. As part of the subgrant agreement, your affiliate must certify that it will not apply for a grant from any other Housing Counseling grant suballocation or categories, or another HUD approved national, regional, multi-state intermediary.

You can decide how to allocate funding among your affiliates with the understanding that a written record must be kept of how you determined your funding levels. This record must be made available to your affiliates and to HUD. You should budget an amount which reflects your best estimate of the cost to oversee and fund the housing counseling efforts of your affiliates. You must seek other private and public sources of funding to supplement HUD funding. HUD does not intend for its counseling grant funds to cover all costs incurred by an agency participating in this program.

(2) *HUD-approved local housing counseling agencies.* These agencies are private and public non-profit organizations, approved by HUD to provide housing counseling services directly to clients. If you are a HUD-approved private or public non-profit organization, HUD will fund your local housing counseling agency activities according to the budget submitted with your application. The amounts you request should reflect anticipated operating needs for your housing counseling activities, based upon your counseling experience during the previous fiscal year and your current agency capacity.

If you apply directly to HUD, you cannot apply as an affiliate for a subgrant to a State housing finance agency or to a national, regional or multi-state intermediary. However, you must disclose all funding sources to HUD. If you are a local housing counseling agency that is not currently HUD-approved, you may receive FY 2000 funding only as an affiliate of a HUD-approved national, regional, or multi-state intermediary; or State housing finance agency.

(3) *State housing finance agencies.* Your primary activity under this grant as a State housing finance agency is to provide housing counseling services as

a local housing counseling agency and/or manage the use of HUD housing counseling funds, including the distribution of counseling funding to your affiliated local housing counseling organizations. You and your local affiliates are eligible to undertake any or all of the housing counseling activities described for HUD-approved local housing counseling agencies.

As either a housing counseling agency or intermediary, you and your local affiliates do not need to be HUD-approved in order to receive these funds.

As a State housing finance agency, you can operate as a housing counseling agency and/or as an intermediary for affiliates that perform housing counseling functions in your State or territory.

As an intermediary, you must identify all your affiliates in your application and designate those affiliates that will be seeking a subgrant. The amount you request should reflect anticipated operating needs for housing counseling activities, based upon the counseling experience during FY 1999 and your current capacity.

In your role as an intermediary, the amount you request should reflect your best estimate of costs to oversee and fund your housing counseling affiliates. This best estimate should not exceed ten percent (10%) of the total grant amount. HUD will give you wide discretion to implement your housing counseling program with your affiliates.

As an intermediary, you must execute subgrant agreements with your affiliates that clearly delineate the mutual responsibilities for program management, including appropriate time frames for reporting results to HUD. As part of the subgrant agreement, your affiliate must certify that it has not applied for a grant from any other Housing Counseling grant suballocation or category, or another State housing finance agency. Your affiliate may be a local housing counseling agency. Local housing counseling agencies may also be affiliates of national, regional, or multi-State intermediaries or HUD approved local housing counseling agencies. You must decide how to allocate funding among your affiliates with the understanding that a written record will be kept of how your determination was made. This record must be made available to the affiliates and to HUD. You must certify that, if your affiliate is not HUD-approved, the quality of services provided will meet, or exceed, standards for local HUD-approved housing counseling agencies.

You must seek other private and public sources of funding to supplement

HUD funding. HUD does not expect its counseling grant funds to cover all costs incurred by your organization's participation in this program. You may use the HUD grant to undertake any of the eligible counseling activities.

(C) *Eligible Activities.* Housing counseling services/activities include:

(1) *Homebuyer Education Programs* where HUD's Homebuyer Education and Learning Program (HELP) materials are used in sessions consisting of approximately eight to twelve (8-12) hours of training. Completion of the training allows graduates to receive first-time homebuyer incentives, such as a reduction in their FHA insurance premium. HUD staff at each HUD Homeownership Center will be available to provide you with the HELP materials.

(2) *Pre-purchase Homeownership Counseling* covering purchase procedures, mortgage financing, down payment/closing cost fund accumulation, accessibility requirements, and if appropriate, credit improvement, and debt consolidation.

(3) *Post-purchase Counseling* including property maintenance, and personal money management.

(4) *Mortgage delinquency and default resolution counseling* including restructuring debt, arrangement of reinstatement plans, loan forbearance, and loss mitigation.

(5) *Home Equity Conversion Mortgage (HECM) counseling* to assist clients who are 62 years old or older with the complexities of converting the equity in their homes to income to pay living expenses or medical expenses.

(6) *Loss Mitigation Counseling* for clients who may be facing default and foreclosure, and need mortgage default resolution and foreclosure avoidance counseling.

(7) *Marketing and Outreach Initiatives* including providing general information about housing opportunities within your target area and providing housing counseling services and information to persons with disabilities. Under this program, you are required to extend marketing and outreach services to all segments of the population.

(8) *Renter Assistance Counseling* including information about rent subsidy programs, rights and responsibilities of tenants, and lease and rental agreements.

(9) *Fair Housing Assistance* including:

(a) Advocating with lenders, appraisers and developers on behalf of clients to recognize the value of non-traditional lending standards, the vitality of housing values in all areas, and the added value of accessible housing design; and

(b) Advising clients on how to recognize discriminatory acts, and how to file a Fair Housing complaint. (This will require being familiar with the provisions of the Fair Housing Act.)

You may elect to offer your services to a wide range of clients, or serve a more limited audience, provided your limited services do not constitute discrimination on the basis of race, color, religion, sex, national origin, disability or familial status. Your potential clients include: first-time homebuyers, homebuyers and homeowners eligible for, and applying for HUD, VA, FmHA (or its successor agency), State, local, or conventionally financed housing or housing assistance; or persons who occupy such housing and seek the assistance of a housing counseling agency to resolve a housing need. You may elect to offer this assistance in conjunction with any HUD housing program; however, to do this, you must be familiar with FHA's single family and multifamily housing programs.

IV. Program Requirements

(A) *General Requirements.* The requirements listed in Section II of the **General Section** of the SuperNOFA apply to this program.

(B) *Specific Requirements.*

(1) *Civil Rights Threshold Requirements*—All eligible applicants must meet the Civil Rights Threshold requirements that are listed in Section II(B) of the **General Section** of the SuperNOFA.

(2) *Accessibility*—All eligible applicants will make counseling offices and services accessible to persons with a wide range of disabilities and help persons locate suitable housing in locations throughout the applicant's community, target area, or metropolitan area, as defined by the applicant.

(C) *Requirements Applicable to Religious Organizations.* Where your organization is, or you propose to contract with, a primarily religious organization, or a wholly secular organization established by a primarily religious organization, to provide, manage, or operate a housing counseling program, you must undertake your responsibilities in accordance with the following principles:

(1) You will not discriminate against any segment of the population in the provision of services or in outreach, including those of other religious affiliations.

(2) You will not provide religious instruction or religious counseling, conduct religious services or worship, engage in religious proselytizing, and exert religious influence in the

provision of assistance under your housing counseling program.

(D) *Performance Measurement.* You are required to complete and submit a form HUD-9902, Fiscal Year Activity Report. The information compiled from this report provides HUD with its primary means of measuring your program performance and program effectiveness.

V. Application Selection Process

(A) *General.* Your application will be evaluated competitively, and ranked against all other applicants that applied in the same funding category. However, after selection, the actual amount funded will be based on successful completion of negotiations. National, regional, and multi-State applications will be rated and ranked in HUD Headquarters, and selected for funding in rank order. Local agency and State housing finance agency applications will be rated and ranked by the HUD Homeownership Centers and selected for funding in rank order.

(B) *Factors For Award Used To Rate and Rank Applications.* The factors for rating and ranking applicants, and maximum points for each factor, are provided below. The maximum number of points for each applicant is 102. This includes two EZ/EC bonus points, as described in the **General Section** of the SuperNOFA.

Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (20 Points)

This factor addresses the extent to which you have the organizational resources necessary to successfully implement your proposed activities in a timely manner. Your rating or the rating of your organization and staff for technical merit will include any subcontractors, consultants, subrecipients, and members of consortia that are identified as participants in your proposal. In rating this factor, HUD will consider the extent to which your proposal demonstrates:

(1) **(10 points)** The knowledge and experience of your proposed project director and staff, including the day-to-day program manager, consultants and contractors in planning and managing programs for which you are requesting funding. Your experience will be judged in terms of recent, relevant and successful experience of your staff to undertake eligible program activities. You are expected to have sufficient personnel, or be able to quickly access qualified experts or professionals, to deliver the proposed activities in a timely and effective fashion. HUD will assess the readiness and ability of your

organization to immediately begin your proposed work program. To demonstrate that you have sufficient personnel, you must submit the proposed number of staff for each task to be conducted, by the employees and experts allocated to each activity you plan to undertake in your program. You must identify their titles and relevant professional background and experience related to the tasks they are to perform. In addition, you must allocate the staff hours for each task of these employees and experts.

(2) **(10 points)** Your past experience in terms of your ability to attain measurable progress in the implementation of your most recent activities where your performance has been assessed. HUD will consider your performance as measured by your expenditures and demonstrated progress in achieving the purpose of the activities. HUD will also consider any documented evidence, such as form HUD-9902, of your failure under past awards to comply with grant award provisions.

Rating Factor 2: Need/Extent of the Problem (20 Points)

This factor addresses the extent to which there is a need for funding your proposed program activities to address a documented problem in your target area. To the extent that the community served by your housing counseling organization has documented the need in the community's Consolidated Plan or Analysis of Impediments to Fair Housing Choice (AI); or requirements of court orders or consent decrees, settlements and voluntary compliance agreements, references to these documents should be included in the response. If your proposed activities are not covered under the scope of the Consolidated Plan or AI, you should indicate such and use other sound data sources to identify the level of need for your proposed program of activities.

In responding to this factor, you will be evaluated on the extent to which you document a critical level of need for your proposed activities in the area where activities will be carried out. The documentation of need should demonstrate the extent of the problem addressed by the proposed activities. Examples of data that might be used to demonstrate need, include economic and demographic data relevant to the target area and your proposed activities. There must be a clear relationship between the proposed activities, community needs and the purposes of this program for an applicant to receive points for this factor.

Rating Factor 3: Soundness of Approach (40 Points)

This factor addresses the quality and effectiveness of your proposed housing counseling plan (work plan) that describes your housing counseling needs, goals, and objectives related to the scope of services you propose to provide, including a description of all counseling activities to be performed. In rating this factor, HUD will consider the following:

(1) The description of the scope of housing counseling services and/or activities that you will provide, how these services/activities will be rendered, how these services/activities will be performed, the Congressional District(s) in which your proposed services/activities are to occur, and the extent to which the design and scope of your services/activities provide geographic coverage for the target areas as defined by the applicant, as well as persons traditionally underserved in the community as identified in Rating Factor 2, as well as persons traditionally underserved, including identification of immediate benefits to be achieved and indicators by which these benefits will be measured.

(2) The extent to which you have a clear agenda and identify specific activities to be performed, such as:

- (a) Screening interviews with clients;
- (b) Setting up a client file with intake information and counseling plan; and
- (c) Having the client sign an agreement accepting the counseling plan and making a commitment to attend the required counseling sessions.

(3) The extent to which your proposed tasks use documented, technically competent methodologies for conducting the work to be performed. HUD will assess the extent to which your proposed work plan identifies documented, proven methodologies for the types of services to be performed.

(4) The extent to which you demonstrate the relationship between the proposed activities, community needs and the purposes of this program.

(5) The extent to which your proposed activities undertake Affirmatively Furthering Fair Housing (AFFH) may be undertaken in a variety of ways, as appropriate to your target area. The following are some suggestions for all housing counseling agencies:

(a) Implementing affirmative marketing strategies to attract all segments of the population regardless of race, color, religion, national origin, sex, familial status, and disability, especially those least likely to request housing counseling services to purchase or retain their homes.

(b) Being pro-active in reducing concentrations of poverty and/or minority populations in the target area. This could include working with, or adopting the counseling practices of, agencies which conduct housing opportunity counseling to encourage low-income and minority persons to move to low-minority-concentration areas, and helping to locate suitable housing in such areas if the client chooses to move to one.

(c) Working with local lenders to develop alternative lending criteria. For instance, you may make referrals to lenders of clients with good credit and payment histories, but who do not fit the standard profiles for lending practices, or advocate with financial institutions on behalf of clients with financial patterns which reflect cultural differences (such as family savings pools, which are common among some Asian populations). Your activities should also focus on finding appropriate housing, free from environmental hazards, for all segments of the population in neighborhoods with good transportation, schools, employment opportunities, and other services.

(b) The following are some suggested activities for national, regional, or multi-state intermediaries and State housing finance agencies:

(i) Training affiliates in Fair Housing issues.

(ii) Making national or regional agreements with lenders, insurers, and organizations which train appraisers and loan appraisers on fair housing requirements, accessibility, and financing methods which support your organization's fair housing and housing opportunity efforts.

Rating Factor 4: Leveraging Resources (10 Points)

This factor addresses your ability to secure private and public resources which can be combined with HUD's program resources to achieve your program purposes. In evaluating this factor HUD will consider:

(1) The extent to which you have obtained additional resources, or partnered with other entities to secure additional resources, to increase the effectiveness of your proposed program activities. Resources may include funding or in-kind contributions, such as services or equipment, allocated to the purpose(s) of your program. Resources may be provided by governmental entities, public or private nonprofit organizations, for-profit private organizations, or other entities willing to partner with you. You may also partner with other program funding recipients to coordinate the use of

housing counseling and support services in your target area.

(2) You must provide evidence of leveraging/partnerships by including in your application letters of firm commitments, memoranda of understanding, or agreements to participate from entities identified as partners in your application. Each letter of commitment, memoranda of understanding, or agreement to participate should include the partnering organization's name, proposed level of commitment and responsibilities as they relate to your proposed program. The commitment letter must also be signed by an official of the organization legally able to make commitments on behalf of the partnering organization.

(3) If you are a housing counseling agency funded under this SuperNOFA, you may use your HUD and leveraged funds to deliver comprehensive housing counseling, or may specialize in delivery of particular housing counseling services. Either way, your services/activities must reflect the housing counseling needs you submitted in your funding application for your target area and identified in your plan. You may conduct a wide range of housing counseling services that are eligible under this program.

(4) If you are a national, regional or multi-state intermediary or a State housing finance agency, you must distribute the majority of your HUD award and leveraged funds to your housing counseling affiliates and branches. HUD will give you wide discretion to implement your housing counseling program with your affiliates and branches. You must execute subgrant agreements with your affiliates and branches that clearly delineates the mutual responsibilities for program management and appropriate time frames for reporting results to HUD. You can decide how to allocate the HUD and leveraged funding among your affiliates with the understanding that a written record must be kept of how you determined your funding levels. This record must be made available to your affiliates and to HUD. You should budget an amount that does not exceed ten percent (10%) of your grant and reflects your best estimate of the cost to oversee and fund the housing counseling efforts of your affiliates.

Note: HUD housing counseling funding is not intended to fully fund either an organization's housing counseling program, or its local affiliates. All organizations that use housing counseling grant funds and their local affiliates are expected to seek other private and public sources of funding for

housing counseling to supplement HUD funding.

Rating Factor 5: Comprehensiveness and Coordination (10 Points)

This factor addresses the extent to which you have coordinated your activities with other known organizations, participated or promoted participation in a community's Consolidated Planning process and are working toward addressing identified needs in a holistic and comprehensive manner through linkages with other activities in your community. In evaluating this factor, HUD will consider the extent to which you can demonstrate you have:

(1) Coordinated your proposed activities with those of other groups or organizations prior to submission in order to best complement, support and coordinate all known activities; and, if funded, the specific steps you will take to share information on solutions and outcomes with others. Any written agreements or memoranda of understanding in place should be described.

(2) Taken or will take specific steps to become active in the Consolidated Planning process (including the Analysis of Impediments to Fair Housing Choice) established in your target area to identify and address needs/problems related to the activities you propose in your application. If you reported in your FY 1999 application that you "will take specific steps", describe what steps you have taken.

(3) Taken or will take specific steps to develop linkages to coordinate comprehensive solutions through meetings, information networks, planning processes or other mechanisms with:

(a) Other HUD-funded projects/activities outside the scope of those covered by the target area's Consolidated Plan; and (b) Other Federal, State or locally funded activities, including those proposed or on-going in your target area.

If you reported in your FY 1999 application that you "will take specific steps", describe what steps you have taken.

VI. Application Submission Requirements

(A) *General.* The contents of your application will differ if you are a local housing counseling agency; or a national, regional, or multi-state intermediary; or a State housing finance agency. For all applicants, however, your application must include the

standard forms, certifications, and assurances listed in the **General Section** of the SuperNOFA (collectively, referred to as the "standard forms"). The standard forms can be found in Appendix B to the **General Section** of the SuperNOFA. The remaining application items that are forms (*i.e.*, excluding such items as narratives, letters), referred to as the "non-standard forms" can be found as Appendix A to this program section of the SuperNOFA. The items are as follows:

(1) *Narrative statements* addressing the five Rating Factors in Section V.(B) of this program section of the SuperNOFA. Your narrative responses should be numbered in accordance with the rating factors and subfactors identified in Section V.(B) of this program section of the SuperNOFA.

(2) *Form HUD-9902, Housing Counseling Agency Fiscal Year Activity Report*, for fiscal year October 1, 1998 through September 30, 1999. If you did not participate in HUD's Housing Counseling Program during FY 1999, this report should be completed to reflect your counseling workload during that period. This form must be fully completed and submitted by every applicant for FY 2000 HUD funding. A copy of this form is included in the Appendix to the program section of this SuperNOFA.

(3) *Budget Work Sheet.* A proposed budget for use of the requested HUD funds.

(4) *Evidence of Housing Counseling Funding Sources* (required of all applicants).

(5) *Narrative of Prior Fiscal Year Performance.* You must provide a descriptive narrative that sets forth your prior fiscal year's performance as related to its goals, objectives and mission. Your narrative must describe the most recent operational and program activities of your organization.

(6) *Current Housing Counseling Plan.* See Rating Factor 3 for a description.

(7) *Direct-labor and Hourly-labor rate and Counseling Time Per Client* for proposed tasks.

(8) *The Congressional District* in which your proposed activities are to occur.

(9) *Authority to Operate as State housing finance agency.* If you are a State housing finance agency, you must submit your statutory authority to operate as a State housing finance agency.

(B) *National, Regional, and Multi-State Intermediaries and State Housing Finance Agencies.* If you are a national,

regional, or multi-state intermediary or a State housing finance agency, you must submit an application which covers both your network organization and your affiliated agencies. You must designate which affiliate may be given a subgrant. Your application must include:

(1) *A description of your affiliated agencies.* For each affiliated agency, list the following information:

- (a) Organization name;
- (b) Address;
- (c) Director and contact person (if different);
- (d) Phone/FAX numbers (including TTY, if available);
- (e) Federal tax identification number;
- (f) ZIP code service areas;
- (g) Number of staff providing counseling;

(h) Type of services offered (defined by homebuyer education programs, pre-purchase counseling, post-purchase counseling, mortgage default and delinquency counseling, HECM counseling, outreach initiatives, renter assistance, and other);

(i) Number of years of housing counseling experience.

(2) *Relationship with Affiliates.* You must briefly describe your relationship with your affiliates (*i.e.* membership organization, field or branch office, subsidiary organization, etc.).

(3) *Oversight System.* You must briefly describe the process that will be used to determine affiliate funding levels, distribute funds, and monitor affiliate performance.

VII. Corrections to Deficient Applications

The **General Section** of the SuperNOFA provides the procedures for corrections to deficient applications.

VIII. Environmental Requirements

In accordance with 24 CFR 50.19(b)(9) and (12) of the HUD regulations, activities assisted under this program are categorically excluded from the requirements of the National Environmental Policy Act and are not subject to environmental review under the related laws and authorities.

IX. Authority

HUD's Housing Counseling Program is authorized by section 106 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701x), and is generally governed by HUD Handbook 7610.1, REV-4, dated August 9, 1995.

BILLING CODE 4210-32-P

APPENDIX A

The non-standard forms, which follow, are required for your Housing Counseling Program application.

Housing Counseling Agency Fiscal Year Activity Report

U.S. Department of Housing
and Urban Development
Office of Housing
Federal Housing Commissioner

OMB Approval No. 2502-0261
(exp. 6/30/2002)

Read the Instructions and Public Reporting
Statement on the back of this form.

| | | | | | |
|---|---|---------------------------------------|-------------------------|---|---|
| Check here if this is a new address <input type="checkbox"/> | | 1. Counseling agency name and address | | 2. Reporting Year (yyyy) from Oct 1, _____ to Sep 30, _____ | |
| 3. Number of Clients Counseled this Report Period | 1. Homeowners (mortgage paid off) | All Counseling Activities | HUD Grant Activities | Potential Mortgagors | 23. Purchased housing |
| | 2. Mortgagors (own property covered by mortgage) | | | | 24. Decided not to purchase |
| | 3. Potential Mortgagors (want to purchase housing) | | | | 25. Other |
| | 4. Renters (occupy rental property) | | | | 26. Total |
| | 5. Potential Renters (want to rent housing) | | | Renters | 27. Purchased housing |
| | 6. Homeless | | | | 28. Rented alt. housing |
| | 7. Disabled Persons | | | | 29. Other |
| | 8. Other | | | | 30. Total |
| | 9. Total | | | Potential Renters | 31. Purchased housing |
| Race/ Ethnicity | a. American Indian /Alaskan Native | | | | 32. Rented alt. housing |
| | b. Asian /Pacific Islander | | | | 33. Other |
| | c. Black Non-Hispanic | | | | 34. Total |
| | d. Hispanic | | | Homeless | 35. Occupied "transitional" housing |
| | e. White Non-Hispanic | | | | 36. Occupied "emergency shelter" |
| 4. Results of Counseling | | | | | 37. Occupied permanent hsg. for handicapped |
| Homeowners | 10. Obtained a Home Equity Conversion Mort.(HECM) | | | | 38. Entered public or prvt. section traditional hsg. |
| | 11. Other | | | | 39. Other |
| | 12. Total | | | | 40. Total |
| Mortgagors | 13. Obtained a HECM | | | 5. HUD Grant Activity - Summary Data | |
| | 14. Brought mortgage current | | | HUD Grant No. From Block 3, Form HUD-1044 | HUD Grant Amount From Block 14, Form HUD-1044 |
| | 15. Forbearance agreement | | | Number of Clients | Amount Invoiced |
| | 16. Mortgage assigned to HUD | | | | |
| | 17. Executed a deed-in-lieu | | | | |
| | 18. Sold their property | | | | |
| | 19. Mortgage foreclosed | | | Total | |
| | 20. Rented alternative housing | | | 6. Name of Person Authorized to Sign this Report | |
| | 21. Other | | | Title | |
| | 22.Total | | | Signature | |
| | | | | Date (mm/dd/yyyy) | |

Public reporting burden for this collection of information is estimated to average 1.17 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. This information is collected in connection with HUD's Housing Counseling Program, and will be used by HUD to determine that the grant applicant meets the requirements of the Notice of Funding Availability (NOFA) and to assign points for awarding grant funds on a competitive and equitable basis. The information is required to obtain funding under Section 106 of the Housing and Community Development Act of 1974. The information is considered sensitive and is protected by the Privacy Act which requires the records to be maintained with appropriate administrative, technical and physical safeguards to ensure their security and confidentiality.

Instructions for Form HUD-9902, Housing Counseling Agency Fiscal Year Activity Report

This **HUD Fiscal Year** Activity Report enables a HUD-approved housing counseling agency to report all of its housing counseling activity for clients with housing needs and problems. Paragraph 1-7A of the HUD Housing Counseling Program Handbook 7610.1 provides the definition of "client," "housing need," and "housing problem."

1. **Counseling Agency Name & Address** - Enter the official name of your agency in the format you submitted to HUD. If the address you enter is a new address, check the box indicating this change.
2. **Enter Report HUD Fiscal Year** - This is an annual report covering the HUD Fiscal Year. Indicate the HUD Fiscal Year covered by the report. Even if your agency was approved by HUD for less than the full year report period, include clients counseling during the full report year.

General

Clients - Please remember that you report **clients** as defined in paragraph 1-7A of HUD's Housing Counseling Program Handbook 7610.1. You are **not** reporting the number of individual persons you counseled.

Examples:

- a. **A husband and wife** or a **brother and sister** or **three friends** who are mortgagors under the same note count as **one client**.
- b. **Three renting families** who experience the **same problem** with the **same landlord** and come to your agency together for assistance count as **one client**.

Columnar Entries - The report contains two data columns.

- a. **All Counseling Activities** - Enter data covering **all** housing counseling activities, including those performed under one or more HUD housing counseling grants.
- b. **HUD Grant Activities** - Enter data covering **only** counseling provided under one or more HUD counseling grants during the report period. Include this data in the "All Counseling Activities" column.
3. **Clients Counseled This Report Period** - Enter the number of clients to whom you provided counseling during the report period. This might include clients who entered your work load the previous report period but you carried over into and counseled during the current report period. Enter the client count in the box that best describes the status of the clients when they first entered your work load.

Disabled Person - A person reported on this line is defined in the Fair Housing Act, Sec. 802 (h) as follows:

Handicap means, with respect to a person -- (1) a physical or mental impairment which substantially limits one or more of such person's major life activities, (2) a record of having an impairment, or (3) being regarded as having such an impairment, but such term does not include current, illegal use of or addiction to a controlled substance (as defined in Section 102 of the Controlled Substance Act (21 U.S.C. 802))."

Homeless - A client reported on this line must meet the definition for "homeless" or "homeless individual" set forth in Section 103., General Definition of Homeless Individual, of the Stewart B. McKinney Homeless Assistance Act (Public Law 100-77).

Racial/Ethnic Categories - Enter number of clients to whom you provided counseling during this period.

- a. **White (Non Hispanic)** - A person having origins in any of the original peoples of Europe, North Africa, or the Middle East.
- b. **Black (Non Hispanic)** - A person having origins in any of the black racial groups of Africa.
- c. **Hispanic** - A person of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish Culture or origin, regardless of race.
- d. **American Indian or Alaskan Native** - A person having origins in any of the original peoples of North America, and who maintains, cultural identification through tribal affiliation or community recognition.
- e. **Asian or Pacific Islander** - A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the Pacific Islands. This area includes, for example, China, Japan, Korea, the Philippine Islands, and Samoa.

Other - Throughout the form, "other" provides a general category into which you place clients who do not fall under any specific category on the form.

4. **Results of Counseling** - You might achieve more than one result for the same client during the report year.
Example: A mortgagor in default enters into a **forbearance agreement** and later **sells the property**. Report both results on the appropriate lines.
5. **HUD Grant Activity - Summary Data** - Enter summary data from the "HUD Grant Activities" column for each grant under which you provided counseling during the report period. In the "Total" row, enter totals for the "No. of Clients" and the "Amount Invoiced" columns.
6. An authorized staff person must sign and date the report.

Housing Counseling Grant Program for 2000**Budget Worksheet**

Complete this worksheet and submit it as part of your application.

| Uses of Funds 1 | HUD 2000 Funds 2 | Private Funds 3 | Other Gov't Funds 4 | Other Funds 5 | Total Program 6 |
|--|------------------------|-----------------------|---------------------------|---------------------|-----------------------|
| Compensation for Counseling Services | | | | | |

Instructions

- Column 1 The predetermined uses allowed by HUD.
- Column 2 The amount the applicant is requesting from HUD under this NOFA.
- Column 3 Funds for FY 2000 from private sources the applicant will have available for the uses in Column 1.
- Column 4 Funds from other government sources available for the uses in Column 1.
- Column 5 Funds from other sources available for the uses in Column 1.
- Column 6 The total amount of funds required by the applicant to administer its proposed housing counseling program for which the applicant is requesting HUD 1999 funds.

**DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT**

**LEAD-BASED PAINT HAZARD
CONTROL PROGRAM**

FUNDING AVAILABILITY FOR THE LEAD-BASED PAINT HAZARD CONTROL GRANT PROGRAM

Program Overview

Purpose of the Program. The purpose of the Lead-Based Paint Hazard Control Grant Program is to assist States, Indian Tribes and local governments in undertaking comprehensive programs to identify and control lead-based paint hazards in eligible privately-owned housing for rental or owner-occupants in partnership with community-based organizations.

Available Funds. Approximately \$59 million.

Eligible Applicants. States, Indian Tribes or local governments. If you are a State or Tribal applicant, you must have a Lead-Based Paint Contractor Certification and Accreditation Program authorized by EPA.

Application Deadline. May 17, 2000. Match. A minimum of 10% match in local funds.

Additional Information

I. Application Due Date, Application Kits, Further Information, and Technical Assistance

Application Due Date. Submit your completed application (an original and four copies) to HUD on or before 12:00 midnight, Eastern time, on May 17, 2000, at the address shown below.

See the **General Section** of the SuperNOFA for specific procedures concerning the form of application submission (e.g., mailed applications, express mail, overnight deliver, or hand carried).

Address for Submitting Applications. For Mailed Applications. The address for mailed applications is: Department of Housing and Urban Development, Office of Lead Hazard Control, 451 Seventh Street, SW, Room P3206, Washington, DC 20410.

For Overnight/Express Mail or Hand Carried Applications. The address for applications that are hand carried or sent via overnight delivery is: HUD Office of Lead Hazard Control, Suite 3206, 490 East L'Enfant Plaza, SW, Washington, DC 20024. Hand carried applications will be accepted at this address (490 East L'Enfant) up until 5:00 pm on the application due date.

After 5:00 pm on the application due date, hand carried applications will be accepted until 12:00 midnight, in the South Lobby of HUD Headquarters, 451 Seventh Street, SW, Washington, DC 20410.

For Application Kits. You may obtain an application kit from the SuperNOFA Information Center at 1-800-HUD-8929. Persons with speech or hearing

impairments, may call the Center's TTY number at 1-800-HUD-2209. When requesting an application kit, please refer to the Lead-Based Paint Hazard Control Grant Program. Please be sure to provide your name, address (including zip code), and telephone number (including area code).

For Further Information and Technical Assistance. You may contact Ellis G. Goldman, Director, Program Management Division, Office of Lead Hazard Control, at the address above; telephone (202) 755-1785, extension 112 (this is not a toll-free number). If you are a hearing- or speech-impaired person, you may reach the above telephone numbers via TTY by calling the toll-free Federal Information Relay Service at 1-800-877-8339.

Satellite Broadcast. HUD will hold an information broadcast via satellite for potential applicants to learn more about the program and preparation of the application. For more information about the date and time of the broadcast, you should consult the HUD web site at <http://www.hud.gov>.

II. Amount Allocated

(A) **Available Funding.** Approximately \$59 million will be available for the Lead-Based Paint Hazard Control Grant Program.

(B) **Allocation of Funds/Grant Awards.** Both existing grantees or previously unfunded applicants are eligible to apply for grants of \$1 million to \$3 million. Approximately 20 to 25 grants will be awarded. A minimum of 70% of the funds shall be available to existing Lead-Based Paint Hazard Control grantees. Applications from existing (or previous) grantees will be evaluated and scored as a separate group and will not be in direct competition with applications from previously unfunded applicants.

III. Program Description, Eligible Applicants; Eligible Activities

(A) **Program Description.** The Lead-Based Paint Hazard Control Grant Program assists States, Indian Tribes and local governments in undertaking programs for the identification and control of lead-based paint hazards in eligible privately-owned housing units for rental and owner-occupants. The application kit for this program section of the SuperNOFA lists HUD-associated housing programs which also meet the definition of eligible housing.

(1) Because lead-based paint is a national problem, these funds will be awarded to:

(a) Maximize both the number of children protected from lead poisoning

and housing units where lead-hazards are controlled;

(b) Target lead hazard control efforts at housing in which children are at greatest risk of lead poisoning;

(c) Stimulate cost-effective approaches that can be replicated;

(d) Emphasize lower cost methods of hazard control;

(e) Build local capacity to safely and effectively address lead hazards during lead hazard control, renovation, remodeling, and maintenance activities; and

(f) Affirmatively further fair housing, Partnership for Advancing Technology in Housing (PATH), and environmental justice.

(2) The objectives of this program include:

(a) Implementation of a national strategy, as defined in Title X of the Housing and Community Development Act of 1992 (42 U.S.C. 4851 *et. seq.*) (Title X), to build the community's capacity necessary to eliminate lead-based paint hazards in all housing, as widely and quickly as possible by establishing a workable framework for lead-based paint hazard identification and control;

(b) Mobilization of public and private resources, involving cooperation among all levels of government, the private sector, and community-based organizations to develop cost-effective methods for identifying and controlling lead-based paint hazards;

(c) Development of comprehensive community approaches which result in integration of all community resources (governmental, community-based, and private businesses) to address lead hazards in housing;

(d) Integration of lead-safe work practices into housing maintenance, repair, weatherization, rehabilitation, and other programs which will continue beyond your grant period;

(e) Establishment of a public registry (listing) of lead-safe housing; and

(f) To the greatest extent feasible, promotion of job training, employment, and other economic opportunities for low-income and minority residents and businesses that are owned by and/or employ low-income and minority residents as defined in 24 CFR 135.5 (See 59 FR 33881, June 30, 1994).

(B) **Eligible Applicants.** (1) To be eligible to apply for funding under this program, you must be a State, Indian Tribe, or unit of local government. Multiple units of a local government (or multiple local governments) may apply as part of a consortium; however, you must identify a single lead government or agency as "the applicant." You may submit only one application. In the

event you submit multiple applications, this will be considered a curable (minor) defect and the application review process delayed until you notify HUD in writing which application should be reviewed. Your other applications will be returned unevaluated.

(2) **Threshold Requirements.** As an applicant, you must meet all of the threshold requirements of Section II(B) of the **General Section** of the SuperNOFA.

(3) **Consolidated Plans.**

(a) If your jurisdiction has a current HUD approved Consolidated Plan, you must submit, as an appendix, a copy of the lead-based paint element included in the approved Consolidated Plan.

(b) If your jurisdiction does not have a currently approved Consolidated Plan, but it is otherwise eligible for this grant program, you must include your jurisdiction's abbreviated Consolidated Plan, which includes a lead-based paint hazard control strategy developed in accordance with 24 CFR 91.235.

(4) **Contracts with Community-Based Organizations.** If selected for funding, local and State applicants must enter into contractual relationships with community-based organizations. Such relationships must be established prior to actual execution of the grant agreement. This requirement does not apply to Indian Tribes.

(5) **EPA Authorization.** If you are a State government or an Indian Tribal government, you must have an EPA authorized Lead-Based Paint Contractor Certification and Accreditation Program on the application deadline to be eligible. The approval date in the **Federal Register** notice published by the EPA will be used.

(6) If you were funded under the FY 1999 Lead-Based Paint Hazard Control Funding competition in the FY 1999 SuperNOFA issued February 26, 1999 (64 FR 9699), you are not eligible for funding under this program section of the SuperNOFA.

(7) The eligibility factors discussed in paragraphs (1) through (6) above are threshold requirements. If you do not satisfy the appropriate eligibility requirements stated in these paragraphs, HUD will not review your application.

(C) **Eligible Activities.** HUD is interested in promoting lead hazard control approaches that result in the reduction of this health threat for the maximum number of low-income families with children under six, for the longest period of time, and that demonstrate techniques which are cost-effective, efficient, and can be used elsewhere. HUD will allow flexibility within the parameters established below. Funds will be available only for

projects conducted by contractors, risk assessors, inspectors, workers and others engaged in lead-based paint activities who meet the requirements of an EPA authorized State or Tribal Lead-Based Paint Contractor Certification and Accreditation Program under the requirements of section 404 of the Toxic Substances Control Act (TSCA).

However, low level hazard interventions (e.g., dust control and minor paint stabilization) do not require certified personnel unless required by state or local laws or regulations. All applicants must use personnel certified under the state, tribal, or EPA administered program for their state or tribe.

(1) **Direct Project Elements** that you may undertake directly or through subrecipients, include:

(a) Performing dust testing, hazard screens, inspections, and risk assessments of eligible housing constructed before 1978 to determine the presence of lead-based paint and/or lead hazards from paint, dust, or soil.

(b) Conducting the required pre-hazard control blood lead testing of children under the age of six years (72 months) residing in units undergoing inspection, risk assessment, or hazard control, unless reimbursable from Medicaid or another source.

(c) Conducting lead hazard control, which may include any combination of the following: interim control of lead-based paint hazards in housing (which may include specialized cleaning techniques to address lead dust); abatement of lead-based paint hazards using different methods for each unit (based on the condition of the unit and the extent of hazards); and abatement of lead-based paint hazards, including soil and dust, by means of removal, enclosure, encapsulation, or replacement methods. Complete abatement of all lead-based paint or lead-contaminated soil is not acceptable as a cost effective strategy unless justification is provided and approved by HUD. Abatement of lead-contaminated soil should be limited to areas with bare soil in the immediate vicinity of the structure, i.e., dripline or foundation of the structure being treated, and children's play areas.

(d) Carrying out temporary relocation of families and individuals during the period in which hazard control is conducted and until the time the affected unit receives clearance for reoccupancy.

(e) Performing blood lead testing and air sampling to protect the health of the hazard control workers, supervisors, and contractors.

(f) Undertaking minimal housing rehabilitation activities that are

specifically required to carry out effective hazard control, and without which the hazard control could not be completed and maintained. Hazard Control grant funds may be used for lead hazard control work done in conjunction with other housing rehabilitation programs. HUD strongly encourages integration of this grant program with housing rehabilitation and PATH technologies.

(g) Conducting clearance dust-wipe testing and laboratory analysis.

(h) Engineering and architectural activities that are required for, and in direct support of, lead hazard control.

(i) Providing lead-based paint worker or contractor certification training and/or licensing to low-income persons.

(j) Providing free training on lead-safe, essential maintenance practices to homeowners, renters, painters, remodelers, and apartment maintenance staff working in low-income private housing.

(k) Providing cleaning supplies for lead-hazard control to community/neighborhood-based organizations, homeowners, and renters in low-income private housing.

(l) Conducting planning and coordination activities to facilitate local implementation of HUD's regulations on Lead-Based Paint Poisoning Prevention in Certain Residential Structures, published on September 15, 1999 (64 FR 50140), which will take effect on September 15, 2000. These regulations are available from the National Lead Information Center at 1-800-424-LEAD.

(m) Conducting general or targeted community awareness, education or outreach programs on lead hazard control and lead poisoning prevention. This includes educating owners of rental properties on the Fair Housing Act and training on lead-safe maintenance and renovation practices and management. Upon request, this also would include making all materials available in alternative formats to persons with disabilities (e.g., Braille, audio, large type).

(n) Procuring liability insurance for lead-hazard control activities.

(o) Supporting data collection, analysis, and evaluation of grant program activities. This includes compiling and delivering such information and data as may be required by HUD. This activity is separate from administrative costs.

(p) Conducting applied research activities directed at demonstration of cost effective methods for lead hazard control.

(q) Purchasing or leasing equipment having a per unit cost under \$5,000.

(r) Purchasing or leasing up to two (2) X-ray fluorescence analyzers for use by the Lead-Based Paint Hazard Control Grant Program, if not already available.

(s) Preparing a final report at the conclusion of grant activities.

(2) Support Elements.

(a) Administrative costs. There is a 10% maximum for administrative costs. Specific information on administrative costs is included in this Lead-Based Paint Hazard Control Grant Program section of this SuperNOFA.

(b) Program planning and management costs of sub-grantees and other sub-recipients.

(D) *Ineligible Activities*. You may not use grant funds for any of the following:

(1) Purchase of real property.

(2) Purchase or lease of equipment having a per unit cost in excess of \$5,000, except for X-ray fluorescence analyzers.

(3) Chelation or other medical treatment costs related to children with elevated blood lead levels. Non-Federal funds used to cover these costs may be counted as part of the required matching contribution.

(4) Lead hazard control activities in publicly owned housing, or project-based Section 8 housing.

IV. Program Requirements

In addition to the program requirements listed in the **General Section** of this SuperNOFA, you, the applicant, must comply with the following requirements:

(A) *Budgeting*. (1) *Matching Contribution*. You must provide a matching contribution of at least 10% of the requested grant sum. This may be in the form of a cash or in-kind (non-cash) contribution or a combination of both. With the sole exception of Community Development Block Grant (CDBG) funds, Federal funds may not be used to satisfy the statutorily required ten (10) percent matching requirement. Federal funds may be used, however, for contributions above the statutory requirement. If you do not show a minimum 10% match in your application, you will be rated lower during the evaluation process, and, if selected, you will be required to provide the matching contribution before being given the grant.

(2) *Direct Lead Hazard Control Activities*. The budget proposed must show a minimum of 60 percent of the total Federal amount requested identified for direct lead hazard control activities. Direct lead hazard control activities consist of inspections, risk assessments, contracts for lead hazard control services, and clearance evaluations. Direct hazard control

activities do not include relocation, blood testing of residents or workers, housing rehabilitation, training, community education, applied research, purchase of supplies or equipment, or administrative costs.

(3) *Applied Research Activities*. You may identify a maximum of five (5%) percent of the total grant request for applied research activities.

(4) *Administrative Costs*. There is a 10% maximum for administrative costs.

(B) *Period of Performance*. The period of performance is 36 months for previously unfunded applicants. Existing grantee applicants will be allowed 30 months.

(C) *Certified Performers*. You may use grant funds only for projects conducted by certified contractors, risk assessors, inspectors, workers and others engaged in lead-based paint activities. The individuals and firms (if applicable) must be certified under an EPA authorized State or Tribal program or a program operated by the EPA in the absence of a State or Tribal program.

(D) *Coastal Barrier Resources Act*. Pursuant to the Coastal Barrier Resources Act (16 U.S.C. 3501), you may not use grant funds for properties located in the Coastal Barrier Resources System.

(E) *Flood Disaster Protection Act*. Under the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001-4128), you may not use grant funds for lead-based paint hazard control of a building or mobile home that is located in an area identified by the Federal Emergency Management Agency (FEMA) as having special flood hazards unless:

(1) The community in which the area is situated is participating in the National Flood Insurance Program in accordance with the applicable regulations (44 CFR parts 59-79), or less than a year has passed since FEMA notification regarding these hazards; and

(2) Where the community is participating in the National Flood Insurance Program, flood insurance on the property is obtained in accordance with section 102(a) of the Flood Disaster Protection Act (42 U.S.C. 4012a(a)). You are responsible for assuring that flood insurance is obtained and maintained for the appropriate amount and term.

(F) *National Historic Preservation Act*. The National Historic Preservation Act of 1966 (16 U.S.C. 470) and the regulations at 36 CFR part 800 apply to the lead-based paint hazard control activities that are undertaken pursuant to this program. HUD and the Advisory Council for Historic Preservation have developed an optional Model Agreement for use by grantees and State

Historic Preservation Officers in carrying out activities under this program. This may be obtained from the SuperNOFA Clearinghouse.

(G) *Waste Disposal*. You must handle waste disposal according to the requirements of the appropriate local, State and Federal regulatory agencies. You must handle disposal of wastes from hazard control activities that contain lead-based paint but are not classified as hazardous in accordance with the HUD Guidelines for the Evaluation and Control of Lead-Based Hazards in Housing (HUD Guidelines). The Guidelines may be purchased from HUD User (1-800-245-2691) or downloaded from the HUD website (www.hud.gov).

(H) *Worker Protection Procedures*. You must observe the procedures for worker protection established in the HUD Guidelines, as well as the requirements of the Occupational Health and Safety Administration (OSHA) (29 CFR 1926.62—Lead Exposure in Construction), or the State or local occupational safety and health regulations, whichever are most protective. If other applicable requirements contain more stringent requirements than the HUD Guidelines, the more rigorous standards shall be followed.

(I) *Prohibited Practices*. You must not engage in practices that are not allowed because of health and safety risks. Methods that generate high levels of lead dust shall be undertaken only with requisite worker protection, containment of dust and debris, suitable clean-up, and clearance. Prohibited practices include:

- (1) Open flame burning or torching;
- (2) Machine sanding or grinding without a high-efficiency particulate air (HEPA) exhaust control;
- (3) Uncontained hydroblasting or high pressure wash;
- (4) Abrasive blasting or sandblasting without HEPA exhaust control;
- (5) Heat guns operating above 1100 degrees Fahrenheit;
- (6) Chemical paint strippers containing methylene chloride; and
- (7) Dry scraping or dry sanding, except scraping in conjunction with heat guns or around electrical outlets or when treating no more than two (2) square feet in any one interior room or space, or totaling no more than 20 square feet on exterior surfaces.

(J) *Proposed Modifications From Current Procedures*. Proposed methods that differ from currently approved standards or procedures will be considered on their merits through a separate HUD review and approval process after the grant award is made

and a specific justification has been presented. HUD may consult with experts from both the public and private sector as part of its final determinations and will document its findings in an environmental assessment. HUD will not approve proposed modifications that, in HUD's opinion, involve a lowering of standards with potential to adversely affect the health of residents, contractors or workers, or the quality of the environment.

(K) *Written Policies and Procedures.* You must have clearly established, written policies and procedures for all phases of lead hazard control, including risk assessment, inspection, development of specifications, pre-hazard control blood lead testing, financing, relocation and clearance testing. Grantees, subcontractors, sub-grantees, sub-recipients, and their contractors must adhere to these policies and procedures.

(L) *Continued Availability of Lead Safe Housing to Low-Income Families.* Units in which lead hazards have been controlled under this program shall be occupied by and/or continue to be available to low-income residents as required by Title X. You must maintain a registry (listing) of units in which lead hazards have been controlled for distribution and marketing to agencies and families as suitable housing for families with children under six.

(M) *Testing.* In developing your application budget, include costs for inspection, risk assessment, and clearance testing for each dwelling that will receive lead hazard control, as follows:

(1) *Testing.* (a) *General.* All testing and sampling shall conform to the current HUD Guidelines and Federal, state or tribal regulations developed as part of the appropriate contractor certification program. It is particularly important to provide this full cycle of testing for lead hazard control, including interim controls. Until the effective date of the final EPA lead hazard standards for dust and soil, the interim standards published on September 15, 1999 (64 FR 50218), will be used. All test results must be provided to the owner, together with a notice describing the owner's legal duty to disclose the results to tenants and buyers.

(b) *Pre-Hazard Control.* A combined inspection and risk assessment is recommended. You should ensure that the results of the pre-hazard control investigation are sufficient to support hazard control decisions. When appropriate, you may elect to perform a lead hazard screen in lieu of an inspection or risk assessment.

(c) *Non-Identification of Lead Hazards from Paint, Dust, Soil.* In the event you propose to conduct lead hazard control work without identification of lead hazards from paint, dust, and soil, you must fully justify the technical and other rationale for such a proposal. HUD must approve such proposals. Approval is subject to HUD environmental review under 24 CFR part 50.

(d) *Clearance Testing.* Clearance dust testing must be conducted according to the HUD Guidelines. You are required to meet the interim post-hazard control dust-wipe test clearance thresholds at 24 CFR 35.1320 published on September 15, 1999 (64 FR 50218). These standards are also in the application kit. Wipe tests shall be conducted by an appropriately certified individual who is independent of the lead hazard control contractor. Dust-wipe and soil samples, and any paint samples to be analyzed by a laboratory, must be analyzed by a laboratory recognized by the EPA National Lead Laboratory Accreditation Program (NLLAP). Units treated shall not be reoccupied until clearance is achieved.

(2) *Blood lead testing.* Before lead hazard control work begins, each occupant who is under six years old must be tested for lead poisoning within the six months preceding the housing intervention. Any child with an elevated blood lead level must be referred for appropriate medical follow-up. The standards for such testing are described in the Centers for Disease Control and Prevention publication *Preventing Lead Poisoning in Young Children* (1991).

(N) *Cooperation With Related Research and Evaluation.* You shall cooperate fully with any research or evaluation sponsored by HUD, CDC, EPA or other government agency and associated with this grant program, including preservation of project data and records and compiling requested information in formats provided by the researchers, evaluators or HUD. This also may include the compiling of certain relevant local demographic, dwelling unit, and participant data not contemplated in your original proposal. Participant data shall be subject to Privacy Act protection.

(O) *Data collection.* You will be required to collect and maintain the data necessary to document the various lead hazard control methods used in order to determine the effectiveness and relative cost of these methods.

(P) *Section 3 Employment Opportunities.* Please see the General Section of this SuperNOFA. The requirements of section 3 of the Housing

and Urban Development Act of 1968 are applicable to the Lead-Based Paint Hazard Control Program.

(Q) *Replacing Existing Resources.* Funds received under this grant program should not be used to replace existing community resources dedicated to any ongoing project.

(R) *Certifications and Assurances.* You must include the certifications and assurances listed in the **General Section** of the SuperNOFA with your application.

(S) *Davis-Bacon Act.* The Davis-Bacon Act does not apply to this program. However, if you use grant funds in conjunction with other Federal programs in which Davis-Bacon prevailing wage rates apply, then Davis-Bacon provisions would apply to the extent required under the other Federal programs.

V. Application Selection Process

(A) *Rating and Ranking.* HUD intends to fund the highest ranked applications within the limits of funding, but reserves the right to advance other eligible applicants in funding rank. A decision to advance an applicant will be based on programs that: foster innovative local approaches or lead hazard control methods, or provide lead hazard control services to populations or communities that have high need (as measured by the "Need" factor for award) and have never received funding under this grant program.

(B) *Award Offers.* In the selection process, once available funds have been allocated to meet the requested or negotiated amounts of the top eligible applicants, HUD reserves the right to offer any residual amount as partial funding to the next eligible applicant, provided HUD is satisfied that the residual amount is sufficient to support a viable, though reduced effort, by such applicant(s). If you are an applicant offered a reduced grant amount you will have a maximum of seven (7) calendar days to accept such a reduced award. If you fail to respond within the seven day limit, you shall be considered to have declined the award.

(C) *Budget.* HUD will evaluate your proposed budget (for a 36 month period for previously unfunded applicants and a 30 month period for existing grantee applicants) to determine if it is reasonable, clearly justified, and consistent with the intended use of grant funds. HUD is not required to approve or fund all proposed activities. You may devote up to 36 months (30 months for existing grantee applicants) for the planning, implementation, and completion of lead hazard control activities. You must thoroughly

document and justify all budget categories and costs (Part B of Standard Form 424A) and all major tasks. Describe in detail the budgeted costs for each program element (major task) included in the overall plan (the program elements are: administration; program management; marketing, community awareness, education and outreach; lead hazard control (including testing); relocation; program evaluation (including data collection); and applied research).

(D) *Factors for Award Used to Evaluate and Rate Applications.* The factors for rating and ranking applicants, and maximum points for each factor, are stated below. The maximum number of points to be awarded is 102. This maximum includes two EZ/EC bonus points as described in the **General Section** of the SuperNOFA. Also, Section III(C)(2) of the **General Section**, which addresses a court-ordered consideration, is applicable to this program.

Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (15 Points for Previously Unfunded Applicants; 30 Points for Existing Grantees)

This factor addresses your organizational capacity necessary to successfully implement the proposed activities in a timely manner. The rating of the "applicant" or the "applicant's staff" for technical merit or threshold compliance, unless otherwise specified, includes any community-based organizations, sub-contractors, consultants, sub-recipients, and members of consortia which are firmly committed to your project. In rating this factor, HUD will consider:

(1) Your recent, relevant and successful demonstrated experience (including governmental and community-based partners) to undertake eligible program activities. You must describe the knowledge and experience of the proposed overall project director and day-to-day program manager in planning and managing large and complex interdisciplinary programs, especially involving housing rehabilitation, public health, or environmental programs. You must demonstrate that you have sufficient personnel or will be able to quickly retain qualified experts or professionals, to immediately begin your proposed work program and to perform your proposed activities in a timely and effective fashion. In the narrative response for this factor, you should include information on your program staff, their experience, commitment to the program, salary information, and

position titles. Resumes (for up to three key personnel), position descriptions, and a clearly identified organizational chart for the lead hazard control grant program effort must be included in an appendix. Indicate the percentage of time that key personnel will devote to your project. To receive maximum points, your day-to-day program manager must be dedicated for a minimum of 75% of the time. Describe how other principal components of your agency or other organizations will participate in or otherwise support the grant program. You may demonstrate capacity by thoroughly describing your prior experience in initiating and implementing lead hazard control efforts and/or related environmental, health, or housing projects. You should indicate how this prior experience will be used in carrying out your proposed comprehensive Lead-Based Paint Hazard Control Grant Program.

(2) If you have received previous HUD Lead-Based Paint Hazard Control Grant funding, your past experience will be evaluated in terms of progress under the most recent previous grant. You must provide a description of your progress in implementing your most recent grant award within the period of performance, including the total number of housing units completed as of the most recent calendar quarter.

Rating Factor 2: Needs/Extent of the Problem (20 Points)

This factor addresses the extent to which there is a need for the proposed program activities to address a documented problem in the target area.

(1) Document a critical level of need for your proposed activities in the area where activities will be carried out. Since an objective of the program is to prevent at-risk children from being poisoned, specific attention must be paid to documenting such need as it applies to the targeted areas, rather than the entire locality or state. If the target area is an entire locality or state, then documenting need at this level is appropriate. So the threat to your jurisdiction's children can be thoroughly assessed, you should describe the need in both the target areas as well as the entire jurisdiction.

(2) Document the following:

(a) Numbers and percentages of children with elevated blood lead levels, particularly in the areas targeted in your proposal;

(b) Economic and demographic data relevant to the target area, including poverty and unemployment rates;

(c) Housing market data available from HUD, or other data sources, including the Consolidated Plan/

Analysis of Impediments, Public Housing Authority's Five Year Comprehensive Plan, State or local Welfare Department's Welfare Reform Plan; or

(3) To the extent that statistics and other data contained in your community's Consolidated Plan or Analysis of Impediments to Fair Housing Choice (AI) support the extent of the problem, you should include references to the Consolidated Plan and the AI in your response.

(4) Provide information on your jurisdiction, and the areas targeted for the lead hazard control activities (data may be available in your currently approved Consolidated Plan, derived from 1990 Census Data, or special local studies):

(a) The age and condition of housing;

(b) The number and percentage of very-low (income less than 50% of the area median) and low (income less than 80% of the area median) income families, as determined by HUD, with adjustments for smaller and larger families;

(c) The number and proportion of children under six years (72 months) of age at risk of lead poisoning;

(d) The extent of the lead poisoning problem in children under six years of age in target areas and the overall jurisdiction; and

(e) Other socioeconomic or environmental factors that demonstrate a need to establish or continue lead hazard control work in your jurisdiction.

(5) You also must provide documentation of the priority that the community's Consolidated Plan and Analysis of Impediments has placed on addressing the needs you described.

(6) If your application addresses needs that are in the Consolidated Plan, Analysis of Impediments to Fair Housing Choice, court orders or consent decrees, settlements, conciliation agreements, and voluntary compliance agreements, you will receive more points than applicants that do not relate their program to identified needs.

(7) For you to receive maximum points for this factor, there must be a direct relationship between your proposed activities, community needs, and the purpose of the program funding. If the data presented in your response does not specifically represent your target area, you should discuss why the target areas were proposed.

Rating Factor 3: Soundness of Approach (45 Points for Previously Unfunded Applicants and 30 Points for Existing Grantees)

This factor addresses the quality and cost-effectiveness of your proposed work plan. You should present information on your proposed lead-based paint hazard control program and describe how it will satisfy the identified needs. To the extent possible, describe a comprehensive strategy to address the need to protect targeted neighborhoods rather than individual units or homes. Your response to this factor must include the following elements:

(1) *Lead Hazard Control Strategy* (37 points for previously unfunded applicants; 22 points for existing grantees). Describe your strategy to plan and execute your lead hazard control grant program. You should provide information on:

(a) *Implementing a Lead Hazard Control Program* (16 points for previously unfunded applicants; 8 points for existing grantees). Describe how you will implement the strategy for your proposed lead hazard control program. The description must include information on:

(i) How your previous experience in reducing or eliminating lead-based paint hazards in conjunction with other Federal, State or locally funded programs will facilitate such implementation.

(ii) Your overall strategy for the identification, selection, prioritization, and enrollment of units of eligible privately-owned housing for lead hazard control. Describe the proposed activities that will occur in an EZ/EC and how they will benefit the residents of those zones or communities. Provide estimates of the total number of owner occupied and/or rental units which will receive lead hazard control. You should describe how you will respond to the needs of EBL children located outside the targeted areas.

(iii) The degree to which the work plan focuses on eligible privately-owned housing units with children under six years (72 months) old. Describe your planned approach to control lead hazards before children are poisoned and/or to control lead hazards in units where children have already been identified with an elevated blood lead level. Describe your process for referring and tracking children with elevated blood lead levels for medical case management. Provide estimates of the number of children you will assist through this program.

(iv) The financing strategy, including eligibility requirements, terms, conditions, and amounts available, you will use in carrying out lead hazard control activities. You must discuss the way these funds will be administered (e.g. use of grants, deferred loans, forgivable loans, other resources, private sector financing, etc.), as well as the agency that will administer the financing process. Describe any matching requirements proposed for assistance to investor-owned properties. Investor-owner match that is a program requirement should also be reflected in your response to Factor 4.

(v) You should describe how your proposed program will satisfy the stated needs or will assist in addressing the impediments in the AI. Describe how your proposed program will further and support the policy priorities of the Department, including promoting healthy homes; providing opportunities for self-sufficiency, particularly for persons enrolled in welfare to work programs; or providing educational and job training opportunities. Describe how your strategy will provide long-term benefits to families with children under six years of age.

(b) *Lead Hazard Control Outreach and Community Involvement* (5 points for all applicants). Your application must describe:

(i) Proposed methods of community education. These may include community awareness, education, training, and outreach programs in support of the work plan and objectives. This description should include general and/or targeted efforts undertaken to assist your program in reducing lead exposure. Programs should be culturally sensitive, targeted, and linguistically appropriate. Upon request, this would include making materials available in alternative formats to persons with disabilities (e.g., Braille, audio, large type), and in other languages common to the community to the extent possible.

(ii) How you intend to involve neighborhood or community-based organizations in your proposed activities. Your activities may include outreach, community education, marketing, inspection (including dust lead testing), and the conduct of lead hazard control activities. HUD will evaluate the level of substantive involvement during the review process.

(iii) Outreach strategies and methodologies to affirmatively further fair housing and provide lead-safe housing to all segments of the population: homeowners, owners of rental properties, and tenants. Once the population to which outreach will be "targeted" is identified, outreach

strategies directed specifically to them should be multifaceted. This criterion goes beyond testing and hazard control; it concerns what happens to the units after lead hazard control activities are completed and tries to ensure, for the long term, that all families will have adequate, lead-safe housing choices.

(c) *Technical Approach for Conducting Lead Hazard Control Activities* (16 points for previously unfunded applicants; 9 points for existing grantees).

(i) Describe your process for the conduct of risk assessments and/or inspections in units of eligible privately-owned housing in which you will undertake lead hazard control. You may include housing which has a valid risk assessment or inspection which had been previously performed by certified inspectors or risk assessors, in accordance with the HUD Guidelines and identified with lead-based paint hazards.

(ii) Describe your testing methods, schedule, and costs for performing blood lead testing, risk assessments and/or inspections to be used. If you propose to use a more restrictive standard than the HUD thresholds (e.g., 0.5% or 1.0 mg/cm²), identify the lead-based paint threshold for undertaking lead hazard control which will be used. All testing shall be performed in accordance with the HUD Guidelines.

(iii) Describe the lead hazard control methods you will undertake and the number of units you will treat for each method selected (interim controls, hazard abatement, and complete abatement). Provide an estimate of the per unit costs (and a basis for those estimates) for each lead hazard control method proposed and a schedule for initiating and completing lead hazard control work in the selected units. Discuss efforts to incorporate cost-effective lead hazard control methods (if you propose complete abatement, provide HUD with a detailed rationale for that decision). Explain your cost estimates, providing detail on how the estimates were developed, with particular references to cost effectiveness.

(iv) *Schedule*. Describe your expected schedule for the overall project. Discuss when you plan to complete planning and receive approval of your workplan; perform lead hazard control on your first unit; and complete lead hazard control on all units in your workplan and grant agreement.

Describe the schedule for a typical unit which will receive lead hazard control. Discuss the duration for enrollment and qualification;

evaluation; hazard control; and clearance.

(v) Describe how you will integrate proposed lead hazard control activities with rehabilitation activities.

(vi) Describe your contracting process, including development of specifications for selected lead hazard control methods. Describe the management processes you will use to ensure the cost-effectiveness of your lead hazard control methods. Your application must include a discussion of the contracting process for the conduct of lead hazard control activities in the selected units.

(vii) Describe your plan for occupant protection or the temporary relocation of occupants of units selected for lead hazard control work. You should address the use of safe houses and other housing arrangements, storage of household goods, stipends, incentives, etc.

(viii) If you are an existing grantee, you must describe the actions you will take to ensure that your proposed lead hazard control work will occur concurrently with other ongoing HUD lead hazard control grant work. Your application must provide the detail necessary to assure HUD that you will implement the proposed work immediately and perform it concurrently with existing lead hazard control grant work.

(ix) If you are an existing grantee, you must describe your progress in implementing your most recent lead hazard control grant award. If the production achieved is below the performance values (percentages of units completed) provided in the application kit, and no changes are proposed, you should explain why the strategy in the earlier grant remains appropriate. Failure to provide this discussion will result in reduced points for this subfactor.

(2) *Economic Opportunity* (4 points for all applicants). Describe the ways you will train individuals and contractors in housing related trades, such as painters, remodelers, renovators, maintenance personnel, and rehabilitation specialists, in lead-safe practices. Describe how you will integrate such practices into lead hazard control activities.

Describe the methods to be used to provide economic opportunities for residents and businesses in the community. This discussion should include information on how you will promote training, employment, business development, and contract opportunities as part of your lead hazard control program. Describe how you will accomplish the requirements of section 3 of the Housing and Urban

Development Act of 1968 to give preference to hiring of low- and very low-income persons or contracting with businesses owned by or employing low- and very low-income persons.

(3) *Program Evaluation, Data Collection, and Research* (4 points for all applicants).

(a) Identify and discuss the specific methods and measures you will use (in addition to HUD reporting requirements) to measure progress, evaluate program effectiveness, and identify program changes necessary to improve performance. Describe how you will obtain, document and report the information.

(b) Provide a detailed description of any proposed applied research activities. Describe the objectives, methodology and impact at the local level of the proposed research activities.

Rating Factor 4: Leveraging Resources (10 Points)

This factor addresses your ability to obtain other community resources (financing is a community resource) that can be combined with HUD's program resources to achieve program objectives.

(1) In evaluating this factor, HUD will consider the extent to which you have established working partnerships with other entities to get additional resources or commitments to increase the effectiveness of the proposed program activities. Resources may include cash or in-kind contributions (such as services or equipment) allocated to the proposed program. Resources may be provided by governmental entities, public or private organizations, or other entities partnering with you.

Contractual relationships with community-based organizations are a requirement for State and local government applicants. Applicants which do not have such partnerships at the time of application will be required to establish partnership relationships with community-based organizations immediately following notification of grant award (this requirement does not apply to you if you are an Indian Tribe applicant). You also may partner with other program funding recipients to coordinate the use of resources in your target area.

(2) You should detail any activities to increase the understanding of lead poisoning prevention activities in your community. This could include partnerships with childhood lead screening programs or collaboration with ongoing health, housing or environmental research efforts which could result in a greater availability of resources. Please be aware that a

separate funding notice on Lead Hazard Research is part of this SuperNOFA.

(3) Matching funds must be shown to be specifically dedicated to and integrated into supporting the lead-based paint hazard control program. You may not include funding from any Federally funded program (except the CDBG program) as part of your required 10% match. Other resources committed to the program that exceed the required 10% match will provide points for this rating factor and may include funds from other Federally funded programs. You must support each source of contributions, cash or in-kind, both for the required minimum and additional amounts, by a letter of commitment from the contributing entity, whether a public or private source. This letter must describe the contributed resources that you will use in the program. Staff in-kind contributions should be given a monetary value. If you do not provide letters specifying details and the amount of the actual contributions, those contributions will not be counted. Matching contributions required of investor-owners may be included as part of your match. Documentation and estimates for the amount of the match should be provided in the annex for this factor.

(4) You must provide evidence of leveraging or partnerships by including letters of firm commitment, memoranda of understanding, or agreements to participate from those entities identified as partners in your application. Each letter of commitment, memorandum of understanding, or agreement to participate should include the organization's name, the proposed level of commitment and responsibilities as they relate to your proposed program. The commitment must be signed by an official of the organization legally able to make commitments on behalf of the organization. Describe the role of community-based organizations in specific program activities, such as hazard evaluation and control; monitoring; and awareness, education, and outreach within the community.

Rating Factor 5: Comprehensiveness and Coordination (10 Points)

This factor addresses the extent to which your program reflects a coordinated, community-based process of identifying needs and building a system to address the needs by using available HUD and other community resources. In evaluating this factor, HUD will consider how you have:

(1) Coordinated your proposed activities with those of other groups or organizations to best support and coordinate all known activities and the

specific steps you will take to share information on solutions and outcomes with others. Any written agreements or memoranda of understanding in place or proposed should be described. You should, at a minimum, describe the activities, in your metropolitan area or region, of other HUD Lead-Based Paint Hazard Control grantees, CDC Childhood Lead Poisoning Prevention grantees, HUD or EPA Lead Outreach and Education grantees, and other programs which are addressing lead poisoning prevention needs. Coordination also includes cooperation with neighboring or regional jurisdictions to facilitate the implementation of lead-based paint hazard control activities in those jurisdictions.

(2) Become actively involved (or if not currently active, the specific steps it will take to become active) in your community's Consolidated Planning and Analysis of Impediments process established to identify and address a need/problem that is related in whole, or part, directly, or indirectly to the activities you propose.

(3) Developed linkages, or the specific steps you will take to develop linkages with other activities, programs or projects through meetings, information networks, planning processes or other mechanisms to coordinate your activities so solutions are comprehensive, including linkages with:

(a) Other HUD funded projects/activities outside the scope of those covered by the Consolidated Plan; and

(b) Other HUD, Federal, State or locally funded activities, including those proposed or on-going in the community(ies) served.

(4) Coordinated and integrated lead hazard control work with housing rehabilitation, housing and health codes, other related housing programs, or including work of community development corporations and childhood lead poisoning prevention programs.

(a) Described the degree to which lead hazard control work will be done in conjunction with other housing-related activities (*i.e.*, rehabilitation, weatherization, correction of code violations, and other similar work), and your plan for the integration and coordination of lead hazard control activities into those activities.

(b) Described plans to incorporate lead-based paint maintenance, essential maintenance practices, and hazard control standards with the applicable housing codes and health regulations.

(c) Described plans to generate and use public subsidies or other resources

(such as revolving loan funds) to finance future lead hazard control activities.

(d) Described plans to develop public-private lending partnerships to finance lead hazard control as part of acquisition and rehabilitation financing including the use of Community Reinvestment Act "credits" by lending institutions.

(e) Evidenced firm commitments from participating organizations by describing:

(i) The name of each organization;

(ii) The capabilities or focus of each organization;

(iii) The proposed level of effort of each organization; and

(iv) The resources and responsibilities of each organization, including the applicant's clearly proposed plans for the training and employment of low-income residents.

(f) Described specific plans and objectives to implement a registry of lead-safe housing into your community's planning. Such plans could include strategies on how the information would be managed and made available to the public so that families (particularly low income families with children under age six) can make informed decisions regarding their housing options. Existing grantee applicants must address any registry of lead-safe housing and specifically discuss the availability, amount of information contained, and the use by members of the community. Describe your plans to develop and maintain a registry of publicly available information on lead-safe units.

(g) Detailed the extent to which the policy of affirmatively furthering fair housing for all segments of the population is advanced by the proposed activities. Detail how your proposed work plan will support the community's efforts to further housing choices for all segments of the population. If you have an existing grant, you should discuss activities which have contributed to enhanced lead safe housing opportunities to all segments of the population.

(h) Described plans to adapt or amend statutes, regulations, or policies which will more fully integrate lead hazard control into community policies and priorities.

(5) Describe how the lead hazard control efforts which are focused in the Empowerment Zone/Enterprise Community will directly benefit the residents or community in that EC/EZ.

(6) Coordinated and cooperated with other organizations which will lead to a reduction in lead risks to community residents. This could include such activities as free training on lead-safe

repainting and remodeling; promotion of essential maintenance practices; and provision of lead dust testing to low-income, privately-owned homes which may not receive lead hazard control assistance under this grant program.

VI. Application Submission Requirements

(A) *Applicant Information.* (1) *Application Format.* The application narrative response to the Rating Factors is limited to a maximum of 25 pages. Your response must be typewritten on one (1) side only on 8 1/2" x 11" paper using a 12 point (minimum) font with not less than 3/4" margins on all sides. Appendices should be referenced and discussed in the narrative response. Materials provided in the appendices should directly apply to the rating factor narrative.

(2) *Application Checklist.* Your application must contain the items listed in this Section V(B). These items include the standard forms, certifications, and assurances listed in the **General Section** of the SuperNOFA that are applicable to this funding (collectively, referred to as the "standard forms"). The standard forms can be found in Appendix B to the **General Section** of the SuperNOFA. The remaining application items that are forms (*i.e.*, excluding such items as narratives, letters), referred to as the "non-standard forms" can be found as Appendix A to this program section of the SuperNOFA. The application items are as follows:

(a) Transmittal Letter that identifies "the applicant" (or applicants) submitting the application, the dollar amount requested, what the program funds are requested for, and the nature of involvement with community-based organizations.

(b) The name, mailing address, telephone number, and principal contact person of "the applicant."

If you have consortium associates, sub-grantees, partners, major subcontractors, joint venture participants, or others contributing resources to your project, you must provide similar information for each of these partners.

(c) Checklist and Submission Table of Contents.

(d) Applicant Abstract. An abstract describing the goals and objectives of your proposed program (2 page maximum).

(e) Standard Form 424, Application for Federal Assistance.

(f) HUD 424M, Federal Assistance Funding Matrix.

(g) A detailed budget (total budget is the federal share and matching

contribution) with supporting cost justifications for all budget categories of your grant request. You must provide a separate estimate for the overall grant management element (Administrative Costs), which is more fully defined in the application kit for this program section of the SuperNOFA. The budget shall include not more than 10% for administrative costs and not less than 90% for direct project elements. A minimum of 60% of the total Federal amount requested must be dedicated to direct lead hazard control activities. In the event of a discrepancy between grant amounts requested in various sections of the application, the amount you indicate on the SF-424 will govern as the correct value.

(h) An itemized breakout (using the SF-424A) of your required matching contribution, including:

- Values placed on donated in-kind services;
- Letters or other evidence of commitment from donors; and
- The amounts and sources of contributed resources.

(i) Standard Forms SF-LLL and SF-424B, and HUD Forms 2880, 2990, 2991, 2992, 2993, 2994, 50070 and 50071.

(j) Memoranda of Understanding or Agreement, letters of commitment or other documentation describing the proposed roles of agencies, local broad-based task forces, participating community or neighborhood-based groups or organizations, local businesses, and others working with the program.

(k) A copy of the lead hazard control element included in your current program year's Consolidated Plan. You should include the discussion of any lead-based paint issues in your jurisdiction's Analysis of Impediments, particularly as it addresses your target areas.

(l) Narrative responses to the five rating factors.

(B) *Proposed Activities.* All applications must, at a minimum, describe the proposed activities in the narrative responses to the rating factors. Your narrative statement must be numbered in accordance with each

factor for award (Rating Factors 1 through 5).

VII. Corrections to Deficient Applications

The **General Section** of the SuperNOFA provides the procedures for corrections to deficient applications.

VIII. Environmental Requirements

In accordance with HUD regulations in 24 CFR part 58, recipients of lead-based paint hazard control grants will assume Federal environmental review responsibilities. Recipients of a grant under this funded program will be given guidance in these responsibilities.

IX. Authority

The Lead-Based Paint Hazard Control Program is authorized by section 1011 of the Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X of the Housing and Community Development Act of 1992).

BILLING CODE 4210-32-P

APPENDIX A

The non-standard forms, which follow, are required for your Lead-Based Paint Hazard Control Program application. They are the Checklist and Submission Table of Contents and the Total Budget (Federal Share and Matching Contribution, including instructions).

CHECKLIST AND SUBMISSION TABLE OF CONTENTS LEAD HAZARD CONTROL GRANT PROGRAM

The following checklist is provided to ensure you have submitted all required items to receive consideration for funding. You must assemble the application in the order shown below and note the corresponding page number where the response is located. **You must include this checklist and submission table of contents with the proposal.**

| | | |
|--------------------------|---|------------|
| <input type="checkbox"/> | Transmittal Letter | Cover page |
| <input type="checkbox"/> | Applicant Abstract Summary (limited to a maximum of 2 pages) | _____ |
| <input type="checkbox"/> | Application Forms | _____ |
| <input type="checkbox"/> | Standard Form 424 and SF 424A Section B | _____ |
| <input type="checkbox"/> | Total Budget (Federal Share and Matching) | _____ |
| <input type="checkbox"/> | HUD 2880 Disclosure and Update Report | _____ |
| <input type="checkbox"/> | HUD 50070 Certification for a Drug-Free Workplace | _____ |
| <input type="checkbox"/> | HUD 50071 Certifications of Payments to Influence Federal Transactions | _____ |
| <input type="checkbox"/> | Form SF-LLL Disclosure of Lobbying Activities Required | _____ |
| <input type="checkbox"/> | <input type="checkbox"/> Form SF-LLL Not Required | _____ |
| <input type="checkbox"/> | HUD 2990 Certification of Consistency with the EZ/EC Strategic Plan | _____ |
| <input type="checkbox"/> | HUD 2991 Certification of Consistency with the Consolidated Plan | _____ |
| <input type="checkbox"/> | HUD 2992 Certification regarding Debarment and Suspension | _____ |
| <input type="checkbox"/> | Standard Form 424B (Assurances/Non-Construction Programs) | _____ |
| <input type="checkbox"/> | Threshold Requirements | |
| <input type="checkbox"/> | Copy of Lead-Based Paint Element in Consolidated Plan | _____ |
| | Rating Factor Response (The narrative response to the Rating Factors cannot exceed a total of 25 pages.) | |
| <input type="checkbox"/> | 1. Capacity of the Applicant and Relevant Organizational Experience | _____ |
| <input type="checkbox"/> | 2. Needs/Extent of the Problem | _____ |
| <input type="checkbox"/> | 3. Soundness of Approach | _____ |
| <input type="checkbox"/> | 4. Leveraging/Partnerships | _____ |
| <input type="checkbox"/> | 5. Comprehensiveness and Coordination | _____ |
| | Appendices | |
| <input type="checkbox"/> | Appendix 1 - Material in support of Rating Factor 1 | _____ |
| <input type="checkbox"/> | Appendix 2 - Material in support of Rating Factor 2 | _____ |
| <input type="checkbox"/> | Appendix 3 - Material in support of Rating Factor 3 | _____ |
| <input type="checkbox"/> | Appendix 4 - Material in support of Rating Factor 4 | _____ |
| <input type="checkbox"/> | Appendix 5 - Material in support of Rating Factor 5 | _____ |
| <input type="checkbox"/> | Appendix 6 - Materials relating to the application thresholds or forms. The extract from the Consolidated plan should be provided in this appendix. | _____ |
| <input type="checkbox"/> | Appendix 7 - Other materials related to the application (as required) | _____ |
| <input type="checkbox"/> | HUD 2993 Acknowledgment of Application Receipt | _____ |

Spreadsheet version available from www.hud.gov/lea/leaforms.html

Budget Summary

Total Budget (Federal Share and Matching)

| Detailed Description of Budget | | | | | |
|---|----------|--------------|----------------|---------------|-------|
| 3c. Transportation - Other | Quantity | Unit Cost | Estimated Cost | Federal Share | Match |
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| Subtotal - Transportation - Other | | | | | |
| 3d. Per Diem or Subsistence (indicate location) | Days | Rate per Day | Estimated Cost | Federal Share | Match |
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| Subtotal - Per Diem or Subsistence | | | | | |
| Total Travel Cost | | | | | |
| 4. Equipment (Only items over \$5,000 each) | Quantity | Unit Cost | Estimated Cost | Federal Share | Match |
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| Total Equipment Cost | | | | | |
| 5. Supplies and Materials (Items under \$5,000) | | | | | |
| 5a. Consumable Supplies | Quantity | Unit Cost | Estimated Cost | Federal Share | Match |
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| Subtotal - Consumable Supplies | | | | | |
| 5b. Non-Consumable Materials | Quantity | Unit Cost | Estimated Cost | Federal Share | Match |
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| Subtotal - Non-Consumable Materials | | | | | |
| Total Supplies and Materials Cost | | | | | |

Budget Summary

| Detailed Description of Budget | | | | | |
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| 6. Consultants (Type) | Days | Rate per Day | Estimated Cost | Federal Share | Match |
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| Total Consultants Cost | | | | | |
| 7. Contracts and Sub-Grantees (List individually) | Quantity | Unit Cost | Estimated Cost | Federal Share | Match |
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| Total Subcontracts Cost | | | | | |
| 8. Other Direct Costs | Quantity | Unit Cost | Estimated Cost | Federal Share | Match |
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| Total Other Direct Costs | | | | | |
| 9. Indirect | Rate | Base | Estimated Cost | Federal Share | Match |
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| Total Indirect Costs | | | | | |
| Total Estimated Costs | | | | | |
| Total of Federal Share and Match | | | | | |

Page 3 of 4

Spreadsheet version available from www.hud.gov/lea/leaforms.html

| Analysis of Total Estimated Costs | Estimated Cost | Percent of Total | Percent of Labor |
|-----------------------------------|-------------------|---------------------|---------------------|
| 1 Personnel (Direct Labor) | | | |
| 2 Fringe Benefits | | | |
| 3 Travel | | | |
| 4 Equipment | | | |
| 5 Supplies and Materials | | | |
| 6 Consultants | | | |
| 7 Contracts and Sub-Grantees | | | |
| 8 Other Direct Costs | | | |
| 9 Indirect Costs | | | |
| Total | | | |

Federal Share
Match

Expressed as a percentage of the Federal Share

Some cells in this spreadsheet are protected. There is no password for this spreadsheet.

Instructions for Completing the Budget Summary Spreadsheet

Note: an electronic version of this spreadsheet may be obtained from the HUD Office of Lead Hazard Control website at www.hud.gov/lea/leaforms.html

| Item | Discussion |
|---|---|
| 1 - Personnel (Direct Labor) | <p>This section should show the labor costs for all individuals supporting the grant effort (regardless of the source of their salaries). The hours and costs are for the full life of the grant. If an individual is employed by a contractor or sub-grantee, their labor costs should not be shown here.</p> <p>Please include all labor costs which are associated with the proposed grant program, including those costs which will be paid for with in-kind or matching funds.</p> <p>Do not show fringe or other indirect costs in this section.</p> <p>Please use the hourly labor cost for salaried employees (use 2080 hours per year or the value your organization uses to perform this calculation). An employee working less than full time on the grant should show the numbers of hours they will work on the grant.</p> |
| 2 - Fringe Benefits | <p>Use the standard fringe rates used by your organization. You may use a single fringe rate (a percentage of the total direct labor) or list each of the individual fringe charges. The spreadsheet is set up to use the Total Direct Labor Cost as the base for the fringe calculation. If your organization calculates fringe benefits differently, please use a different base and discuss how you calculate fringe as a comment.</p> |
| 3 - Travel | |
| 3a - Transportation - Local Private Vehicle | <p>If you plan on reimbursing staff for the use of privately owned vehicles or if you are required to reimburse your organization for mileage charges, show your mileage and cost estimates in this section.</p> |
| 3b - Transportation - Airfare | <p>Show the estimated cost of airfare required to support the grant program effort. Show the destination and the purpose of the travel as well as the estimated cost of the tickets.</p> <p>Each lead program NOFA discusses the travel requirements which should be listed here.</p> |
| 3c - Transportation - Other | <p>If you or are charged monthly by your organization for a vehicle for use by the grant program, indicate those costs in this section.</p> <p>Provide estimates for other transportation costs which may be incurred (metro, etc.).</p> |

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| 3d - Per Diem or Subsistence | <p>For travel which will require the payment of subsistence or per diem in accordance with your organization's policies. Indicate the location of the travel.</p> <p>Each lead program NOFA discusses the travel requirements which should be listed here.</p> |
| 4 - Equipment | <p>Equipment is defined by HUD regulations as tangible, nonexpendable, personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.</p> <p>Each lead program NOFA describes what equipment may be purchased using grant funding.</p> |
| 5 - Supplies and Materials | <p>Supplies and materials are consumable and non-consumable items which have a unit value of less than \$5,000. Please list the proposed supplies and materials as either Consumable Supplies or as Non-Consumable Materials.</p> |
| 5a - Consumable Supplies | <p>List the consumable supplies you propose to purchase. General office or other common supplies may be estimated using an anticipated consumption rate.</p> |
| 5b - Non-consumable materials | <p>List furniture, computers, printers, and other items which will not be consumed in use. Please list the quantity and unit cost.</p> |
| 6 - Consultants | <p>Please indicate the consultants you will use. Indicate the type of consultant (skills), the number of days you expect to use them, and their daily rate.</p> |
| 7 - Contracts and Sub-Grantees | <p>List the contractors and sub-grantees which will help accomplish the grant effort. Other contracts which should be shown here include inspections, risk assessments, and clearance inspections; contracts with Community Based Organizations; liability insurance; contracts with laboratories; and training and certification for contractors and workers.</p> <p>If any contractor, sub-contractor, or sub-grantee is expected to receive over 10% of the total Federal amount requested, a separate Budget Summary spreadsheet should be developed for that contractor or sub-grantee and the total amount of their proposed effort should be shown as a single entry in this section.</p> <p>Unless your proposed program will perform the primary grant effort (lead hazard control, research, or healthy homes) with in-house employees (which should be listed in section 1), the costs of performing the primary grant activities (research, hazard control, etc.) should be shown in this section.</p> <p>Types of activities which should be shown in this section:</p> <ul style="list-style-type: none"> • Contracts for all services • Training for individuals not on staff • Contracts with Community Based Organizations or Other Governmental Organizations (note the 10% requirement |

| | |
|------------------------|---|
| | <p>discussed above)</p> <ul style="list-style-type: none"> Insurance if your program will procure it separately <p>Please provide a short description of the activity the contractor or subgrantee will perform, if not evident.</p> |
| 8 - Other Direct Costs | <p>Other Direct Costs include a number of items that are not appropriate for other sections.</p> <p>Other Direct Costs may include:</p> <ul style="list-style-type: none"> Staff training Telecommunications Printing and postage Relocation, if costs are paid directly by your organization (if relocation costs are paid by a subgrantee, it should be reflected in Section 7) |
| 9 - Indirect Costs | <p>OMB Circular A87 defines indirect costs are those that have been incurred for common or joint purposes. These costs benefit more than one cost objective and cannot be readily identified with a particular final cost objective without effort disproportionate to the results achieved. Indirect costs include (a) the indirect costs originating in each department or agency of the governmental unit carrying out Federal awards and (b) the costs of central governmental services distributed through the central service cost allocation plan and not otherwise treated as direct costs.</p> <p>The spreadsheet is set up to use the Total Direct Labor plus the Fringe Benefits costs as the base for the indirect cost calculation. If your organization calculates indirect costs differently, please use a different base and discuss how you calculate fringe as a comment.</p> |

The three rightmost columns allow you to identify how the costs will be spread between the Federal Share and the Match. This information will help the reviewers better understand your program and priorities. The far right column is an "error checking" function to confirm that the estimated cost is equal to the sum of the Federal Share and the Match. If there is a discrepancy, the word "Error" will appear.

Note: The formats and many of the cells for the spreadsheet (which can be downloaded from the HUD Office of Lead Hazard Control website at www.hud.gov/lea/fedshare.xls) are protected. There is no password for the protection.

**DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT**

**RESEARCH TO IMPROVE THE
EVALUATION AND CONTROL
OF RESIDENTIAL
LEAD-BASED PAINT HAZARDS**

NOTICE OF FUNDING AVAILABILITY FOR RESEARCH TO IMPROVE THE EVALUATION AND CONTROL OF RESIDENTIAL LEAD-BASED PAINT HAZARDS (LEAD HAZARD CONTROL RESEARCH)

Program Overview

Purpose of the Program. To fund research to improve methods for detecting and controlling residential lead-based paint hazards.

Available Funds. Approximately \$1.5 million.

Eligible Applicants. Academic and not-for-profit institutions located in the U.S., and State and local governments. For-profit firms also are eligible; however, they are not allowed to earn a fee.

Application Deadline. **May 17, 2000.**

Match. None required.

Additional Information

If you are interested in applying for funding under this program, please review carefully the **General Section** of this SuperNOFA and the following additional information.

I. Application Due Date, Application Kits, Further Information, and Technical Assistance

Application Due Date. Submit an original and four copies of your completed application on or before 12:00 midnight, Eastern time, on May 17, 2000, at the address shown below.

See the **General Section** of this SuperNOFA for specific procedures that you must follow for the form of application submission (e.g., mailed applications, express mail, overnight delivery, or hand carried).

Address for Submitting Applications.

For Mailed Applications. The address for mailed applications is: Department of Housing and Urban Development, Office of Lead Hazard Control, 451 Seventh Street, SW, Room P3206, Washington, DC 20410.

For Overnight/Express Mail or Hand Carried Applications. The address for applications that are hand carried or sent via overnight/express mail delivery is: HUD Office of Lead Hazard Control, Suite 3206, 490 East L'Enfant Plaza, SW, Washington, DC 20024. Hand carried applications will be accepted at this address (490 East L'Enfant) up until 5:00 pm on the application due date.

After 5:00 pm on the application due date, hand carried applications will be accepted until 12:00 midnight, in the South Lobby of HUD Headquarters, 451 Seventh Street, SW, Washington, DC 20410.

For Application Kits. You may obtain an application kit from the SuperNOFA

Information Center at 1-800-HUD-8929. Persons with speech or hearing impairments may call the Center's TTY number at 1-800-HUD-2209. When requesting an application kit, please refer to the Lead Hazard Control Research grant program. Please be sure to provide your name, address (including zip code), and telephone number (including area code).

For Further Information and Technical Assistance. You may contact: Mr. Eugene Pinzer, Office of Lead Hazard Control, at the address above; telephone (202) 755-1785, extension 120 (this is not toll-free numbers). Hearing- and speech-impaired persons may access the above telephone number via TTY by calling the toll-free Federal Information Relay Service at 1-800-877-8339.

Satellite Broadcast. HUD will hold an information broadcast via satellite for potential applicants to learn more about the program and preparation of the application. For more information about the date and time of the broadcast, you should consult the HUD web site at <http://www.hud.gov>.

II. Amount Allocated

Approximately \$1.5 million will be available to fund research proposals in FY 2000. Grants or cooperative agreements will be awarded on a competitive basis according to the Rating Factors described in Section V(B). HUD anticipates awarding three to five grants ranging from approximately \$200,000 to approximately \$600,000.

III. Program Description; Eligible Applicants; Eligible Activities

(A) *Program Description. Background.* HUD has been actively engaged in a number of activities relating to lead-based paint as a result of the Lead-Based Paint Poisoning Prevention Act (LBPPPA) of 1971, as amended, 42 U.S.C. 4801-4846. Sections 1051 and 1052 of the Lead Based Paint Hazard Reduction Act of 1992 ("Title X") (42 U.S.C. 4854 and 4854a) state that the Secretary of HUD, in cooperation with other Federal agencies, shall conduct research on specific topics related to the evaluation and subsequent mitigation of residential lead hazards. This research program also implements, in part, HUD's Departmental Strategy for Achieving Environmental Justice pursuant to Executive Order 12898 (Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations).

The HUD-sponsored research also responds to recommendations that were made by the Task Force on Lead-Based

Paint Hazard Reduction and Financing, which was established pursuant to section 1015 of Title X. The Task Force presented its final report to HUD and the Environmental Protection Agency (EPA) in July 1995. The Task Force Report, entitled "Putting the Pieces Together: Controlling Lead Hazards in the Nation's Housing" (see Appendix A of this research program section of the SuperNOFA), recommended research be conducted on a number of key topics to address significant gaps in our knowledge of lead exposure and hazard control.

Research findings will be used in part to update HUD's *Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing* ("Guidelines"), which were published in June, 1995 and amended in September, 1997. The Guidelines are a report on state-of-the-art procedures for all aspects of lead-based paint hazard evaluation and control. The Guidelines reflect the Title X framework for lead hazard control, which distinguishes three types of control measures: interim controls, abatement of lead-based paint hazards, and complete abatement of all lead-based paint. Interim controls are designed to address hazards quickly, inexpensively, and temporarily, while abatement is intended to produce a permanent solution. While the *Guidelines* recommend procedures that are effective in identifying and controlling lead hazards while protecting the health of abatement workers and occupants, HUD recognizes that targeted research and field experience will result in future changes to the *Guidelines*. For availability of the *Guidelines*, see Appendix A of this research program section of the SuperNOFA.

(B) *Eligible Applicants.* Academic and not-for-profit institutions located in the U.S., and State and local governments are eligible under all existing authorizations. For-profit firms also are eligible; however, they are not allowed to earn a fee (i.e., no profit can be made from the project). Federal agencies and Federal employees are not eligible to submit applications. The **General Section** of the SuperNOFA provides additional eligibility requirements.

(C) *Eligible Activities.* (1) *General Goals and Objectives.* The overall goal of this research is to gain knowledge to improve the efficacy and cost-effectiveness of methods for lead-based paint hazard evaluation and control. A table of current lead-related research projects being funded by HUD can be found in Appendix B. HUD is interested in the following research topics:

(a) Evaluation of Lead Hazard Control Methodologies;

—Contribution of Exterior Lead Sources to Lead in Interior Dust;

(b) Low-Cost Analytical Techniques for the Rapid, On-Site Determination of Lead in Dust;

(c) New or Novel Methods of LBP Hazard Evaluation or Control, or other areas of research that are consistent with the overall goals of this research program section of the SuperNOFA.

Research objectives for the research topics listed above are provided separately in the expanded discussion of these topic areas that follows in Section III(C)(2). Although HUD is soliciting proposals for research on these specific topics, the Department will also consider funding applications for research on topics which are relevant under the overall goals and objectives of this research, as described above. In such instances, the applicant should describe how the proposed research activity addresses these overall goals and objectives.

(2) *Background and Objectives for Specific Research Topic Areas.*

(a) *Evaluation of Lead Hazard Control Methodologies.*

(i) *Contributions of Exterior Lead Sources to Lead in Interior Dust.* There is general consensus that lead in interior house dust is the primary pathway of lead exposure for young children. In order to reduce the amount of lead in interior dust, all significant lead sources must be identified and remediated. Various methods have been used to identify the major sources and pathways of lead in house dust, including epidemiological studies and direct tracing of lead from potential sources based on unique physical/chemical characteristics of the lead from each source. Most of the epidemiological studies that have examined this question have concluded that lead-based paint appeared to be the major contributor of lead in interior dust (e.g., Bornschein *et al.*, 1990; Stark *et al.*, 1982; Schwartz and Levin, 1991; Greene *et al.* 1992). Lead tracer studies have most commonly measured particle morphology, accompanying elements, or lead isotopic composition. These studies have been limited; several have identified lead-based paint as the primary contributor to lead particulate (Hunt *et al.*, 1992; Yaffe, *et al.*, 1983). The feasibility of using tracer methods has improved as more cost-effective technologies have been developed. For example, lead isotope ratios can now be measured with acceptable accuracy and precision by inductively coupled plasma mass spectrometry, as opposed

to the more laborious thermal ionization method (Gwiazda, *et al.*, 1998; Woolard, *et al.*, 1998).

The extent to which lead in exterior dust and soil can contribute to the lead content of interior dust has not been quantified. There may be a seasonal fluctuation in dust-lead loading on interior surfaces, especially floors (USEPA 1995; National Center for Lead Safe Housing, 1997). In temperate climates, seasonal variations in interior dust-lead levels may be related to greater opportunity for exterior lead dust to be blown or tracked into homes in warmer seasons (e.g., open windows, more frequent in-and-out foot traffic). The magnitude of the contribution of exterior lead sources to lead in interior dust may be related to: exterior lead-based paint, climate, soil type, soil-lead concentration, extent of ground cover, housing characteristics, and the behavior of occupants.

Applicants proposing research in this topic area should consider the efficiencies that might be gained by working cooperatively with some of the recipients of HUD lead hazard control grants, who are widely distributed throughout the U.S.

(ii) *Goals and Objectives.* HUD's specific goals and objectives for this area of research include:

- Estimate the relative contribution of exterior lead sources to lead dust on interior surfaces, identifying any seasonal changes in this pattern.
- Identify geographic differences in the contribution of exterior lead sources to interior dust-lead and any seasonal changes in this contribution.
- Evaluate methods to reduce the migration of lead from exterior sources into the home.
- Identify factors that are predictive of the lead content of exterior dust and soil and the fraction of exterior-derived lead in interior dust.

(b) *Low-Cost Analytical Techniques for the Rapid Field Determination of Lead in Dust.* Develop an inexpensive and easy to use technique to determine the lead level in house dust, with particular applicability to the range of risk assessment and clearance (40–800 $\mu\text{g}/\text{ft}^2$) for HUD-associated projects. *Inexpensive* means under approximately \$1000–1500, with each analysis, including pro rata costs of consumables, blanks, standards, etc., under \$10–20. Consideration will also be given if it can be shown that amortized cost of the equipment is low or that average cost per analysis is low assuming a few hundred analyses per year. *Easy to use* means requiring one person with a high school degree to operate, and requiring under 8 hours operator's training to

meet the performance criteria cited below. *Rapid* means that results could be available in 15 minutes to a few hours, or that a number of samples could be processed simultaneously so that results are available in a few hours. Optionally, address how the same device (with adapters, if needed) could be used to determine lead in paint (with respect to 1 mg/cm² or 0.5% by weight), lead dust in air (with respect to 30–50 $\mu\text{g}/\text{m}^3$), after collection on a membrane filter, and/or the lead content of soil (with respect to 200–2000 ppm). Performance criteria for the device will include $\pm 20\%$ precision at 95% confidence for measurements from 0.5 to 2.0 times the levels of interest cited above. Establish and validate any necessary procedures, such as extraction and/or digestion, that would work well with the field device/procedure. Examine old technology (e.g., colorimetric tests, titrimetric procedures) as well as newer techniques.

Consider the safety and environmental impacts of the procedure, particularly as used in the field. Comparatively recent developments have introduced for consideration the use of a field-portable anodic stripping voltammetry (ASV) device for the determination of lead in paint, lead dust on wipes, or lead in air (after collection on a membrane filter). Similarly, portable field x-ray fluorescence spectrometers (XRF) have been used to determine lead dust on dust wipes or the lead content of soil using a special holder. Neither of these techniques has yet been widely accepted or used in the field by practicing risk assessors. Of course, XRF is the most common method for inspectors to determine the presence of lead-based paint (LBP). There remains a need to introduce and develop a relatively low-cost, precise, accurate, and rapid technique to determine the level of lead dust on a dust wipe, particularly as a clearance determination where otherwise a contractor and crew may have to wait a day or more for a clearance determination to be reported by a laboratory. Such a method for determining lead content on a dust wipe could also serve as a good "screening" tool after LBP abatement or other lead hazard control activities to determine if sufficient cleaning has been performed prior to proceeding to full clearance determinations using dust wipes and laboratory analyses.

We invite the consideration and evaluation of all other techniques, including classical analytical techniques, that may become a low-cost,

accurate, precise and rapid method for the determination of lead in the field. The new or novel application may equally apply to the determination of lead in paint, lead in air, or lead in soil, but these additional uses are not as important. Please refer to some of the references in Appendix A for discussion of ASV, colorimetric tests, and reflectometer tests.

(c) *New or Novel Methods of LBP Hazard Evaluation or Control, or Other Areas of Research that are Consistent with the Overall Goals of this Research Program Section of the SuperNOFA.*

You may address one or more of the research topic areas within your proposal, or submit separate applications for different topic areas. Projects need not address all of the objectives within a given topic area.

(i) Identify and evaluate new methods and/or techniques for LBP hazard control. Identify materials and/or procedures that may be used for abatement or for interim controls. Show the potential utility of these methods for lead hazard control and risk reduction. Evaluate critical elements and potential weaknesses of the methods or techniques, and address how to minimize the effect of each critical element and/or eliminate or mitigate each weakness. Demonstrate where and how these methods have been applied and tested, and/or perform demonstration activities. Illustrate the results obtained, and the costs involved. Recommend cost-effective changes to the Program for inclusion in future HUD lead hazard control grants, and for possible inclusion in future revisions to the Guidelines.

(ii) Evaluate the different programs used by the communities receiving HUD lead hazard control grants and determine which activities produce the greatest number of low-income child-years in treated units.

HUD believes there is a need to expand the possible alternatives to consider when evaluating or addressing the reduction of LBP hazards. Novel techniques and new ideas are hereby solicited to be used in a nationwide program to reduce childhood lead poisoning through the reduction and control of LBP hazards. Such techniques may include one or more of the following:

- Novel techniques or materials for paint film stabilization; as defined in the HUD regulation published Sept. 15, 1999, *paint stabilization* means repairing any physical defect in the substrate of a painted surface that is causing paint deterioration, removing loose paint and other material from the

surface to be treated, and applying a new protective coating or paint.

- Reduction of bio-availability of lead in dust;
- An approach to reduce the formation of leaded dust from friction surfaces;
- Any other technique that may be used to reduce LBP hazards.

Additional ideas will be considered with an open mind toward novel techniques and applications.

Although HUD is soliciting proposals for research on some specific topics, the Department will also consider funding applications for research on topics which are relevant under the overall goals and objectives of this research NOFA, as described above. In such instances, the applicant should describe how the proposed research activity addresses these overall goals and objectives.

IV. Program Requirements.

(A) *Applicable Requirements.* Please refer to Section II of the **General Section** of the SuperNOFA, Requirements and Procedures Applicable to All Programs. The threshold requirements are listed in Section II.B of the **General Section** of this SuperNOFA.

(B) *Certifications and Assurances.* In addition to the certifications mentioned in the Section II(G) of the **General Section** of the SuperNOFA, you must comply with the following:

- (1) All relevant State and Federal regulations regarding exposure to and proper disposal of hazardous materials.
- (2) Any blood lead testing, blood lead level test results, and medical referral and follow-up for children under six years of age will be conducted according to the recommendations of the Centers for Disease Control and Prevention (CDC) (*Preventing Lead Poisoning in Young Children*, See Appendix A of this research program section of the SuperNOFA);
- (3) HUD research grant funds will not replace existing resources dedicated to any ongoing project; and
- (4) Laboratory analysis covered by the National Lead Laboratory Accreditation Program (NLLAP) is conducted by a laboratory recognized under the program.

(5) Human research subjects will be protected from research risks in conformance with Federal Policy for the Protection of Human Subjects, codified by HUD at 24 CFR part 60.

V. Application Selection Process

(A) *Submitting Applications for Grants.* Applications that meet all of the threshold requirements will be eligible to be scored and ranked, based on the

total number of points allocated for each of the rating factors described below in Section V(B) of this program section of the SuperNOFA. Your application must receive a total score of at least 65 points to remain in consideration for funding.

Awards will be made in rank order, within the limits of funding availability.

You may address more than one of the research topic areas within your proposal, or submit separate applications for different topic areas. Projects need not address all of the objectives within a given topic area. While you will not be penalized for not addressing all of the specific objectives for a given topic area, if two applications for research in a given topic have equal scores, HUD will select the applicant whose project addresses the most objectives.

You are encouraged to plan projects that can be completed over a short time period (e.g., 12 to 24 months from the date of award) so useful information generated from the research can be available for policy or program decisions and disseminated to the public as quickly as possible.

Regarding the amount to be awarded to the selected applicants, please refer to the Negotiations section in the **General Section** of this SuperNOFA.

(1) *Use of Residual Funds.* In the selection process, HUD reserves the right to offer partial funding to any or all applicants. If you are offered a reduced grant amount, you will have a maximum of seven (7) calendar days to accept such a reduced award. If you fail to respond within the seven day limit, you shall be considered to have declined the award.

(2) *Set-Aside for Previously Unfunded Applicants.* Existing HUD lead hazard research grantees, previously funded grantees, or previously unfunded applicants are eligible to apply for grants. At least 20% of the funds under this research program section of the SuperNOFA will be made available to applicants who are not current (or previous) Lead Hazard Control Research grantees, provided that no application shall be funded that receives lower than the minimum score listed in Section V(A) of this program section above. Applications from existing (or previous) grantees will be evaluated and scored as a separate group and will not be in direct competition with applications from previously unfunded applicants.

(B) *Rating Factors.* The factors for rating and ranking applicants, and maximum points for each factor, are provided below. The maximum number of points to be awarded is 100. The EZ/EC bonus points described in the

General Section of the SuperNOFA do not apply to this Research NOFA.

Rating Factor 1: Capacity of the Applicant and Relevant Organizational Experience (20 Points)

This factor addresses the extent to which you have the ability and organizational resources necessary to successfully implement your proposed activities in a timely manner. The rating of you, the "applicant," will include any sub-grantees, consultants, sub-recipients, and members of consortia that are firmly committed to the project (generally, "subordinate organizations"). In rating this factor HUD will consider the extent to which your application demonstrates:

(1) *The capability and qualifications of the principal investigator and key personnel (10 points)*. Qualifications to carry out the proposed study as evidenced by academic background, relevant publications, and recent (within the past 10 years) relevant research experience. Publications and research experience are considered relevant if they required the acquisition and use of knowledge and skills that can be applied in the planning and execution of the research that is proposed under this program section of this SuperNOFA.

(2) *Past performance of the research team in managing similar research (10 points)*. Demonstrated ability to successfully manage various aspects of a complex research study in such areas as logistics, research personnel management, data management, quality control, community research involvement (if applicable), and report writing, as well as overall success in project completion (*i.e.*, research completed on time and within budget). You should also demonstrate that your project would have adequate administrative support, including clerical and specialized support in areas such as accounting and equipment maintenance.

Rating Factor 2: Need/Extent of the Problem (15 Points)

(1) You must demonstrate responsiveness to solicitation objectives. You should explain in detail how your research would make a significant contribution towards achieving some or all of HUD's stated goals and objectives for one or more of the topic areas described in Sections III(C)(2)(a)–(c) of this program section of the SuperNOFA. You also should explain how your proposed research could lead to improvements or additions to the HUD Guidelines.

(2) If you are seeking funding for "other" research, as is described in section III(C)(2)(c), you must provide an explanation which demonstrates the importance and need for the research with respect to addressing the overall goal of this research program.

Rating Factor 3: Soundness of Approach (45 Points)

This factor addresses the quality of your proposed research plan. Specific components include the following:

Soundness of the study design (25 points). The project description/study design must be thorough and feasible, and reflect your knowledge of the relevant scientific literature. You should include a plan for analyzing and archiving data. You should approach your study design as a project with a goal, some activities with associated tasks, a time frame, and an associated cost.

Quality assurance mechanisms (8 points). You must describe the quality assurance mechanisms which will be integrated into your research design to ensure the validity and quality of the results. Areas to be addressed include acceptance criteria for data quality, procedures for selection of samples/sample sites, sample handling, measurement and analysis, and any standard/nonstandard quality assurance/control procedures to be followed. Documents (*e.g.*, government reports, peer-reviewed academic literature) which provide the basis for your quality assurance mechanisms should be cited.

(2) *Project management plan (10 points)*. The proposal should include a management plan that provides a schedule for the completion of major activities, tasks and deliverables, with an indication that there will be adequate resources (*e.g.*, personnel, financial) to successfully meet the proposed schedule. Projects with a duration of 24 months or less will be awarded more points in this category than projects with a longer duration.

(3) *Budget Proposal (2 Points)*. Your budget proposal should thoroughly estimate all applicable direct and indirect costs, and be presented in a clear and coherent format in accordance with the requirements listed in the **General Section** of this SuperNOFA. Your budget should be submitted in the format recommended; an electronic spreadsheet is available on HUD's website, www.hud.gov/lea. Your budget proposal should be activity and task related.

Rating Factor 4: Leveraging Resources (10 Points)

Your proposal should demonstrate that the effectiveness of the HUD research grant funds are being increased by securing other public and/or private resources or by structuring the research in a cost-effective manner, such as integrating the project into an existing research effort. Resources may include funding or in-kind contributions (such as services, facilities or equipment) allocated to the purpose(s) of your research. Staff and in-kind contributions should be given a monetary value.

You should provide evidence of leveraging/partnerships by attaching to your application the following: letters of firm commitment, memoranda of understanding, or agreements to participate from those entities identified as partners in the research efforts. Each letter of commitment, memorandum of understanding, or agreement to participate should include the organization's name, proposed level of commitment (with monetary value) and responsibilities as they relate to specific activities or tasks of your proposed program. The commitment must also be signed by an official of the organization legally able to make commitments on behalf of the organization.

Rating Factor 5: Comprehensiveness and Coordination (10 Points)

You should describe how the results of your proposed research efforts will support planning, policy development, implementation of lead hazard control programs, and/or public education in the area of residential lead hazard control or in accordance with the goals and operations of the Partnership for Advancing Technology in Housing (PATH) (refer to Section VI(E) of the **General Section** of the SuperNOFA). If your application involves a particular community, it should relate to the community's Consolidated Plan and Analysis Impediments to Fair Housing Choice. In addition, you should also address the extent to which your research could be used to expand fair housing choice and to affirmatively further fair housing.

VI. Application Submission Requirements

(A) *Applicant Data*. Your application must contain the items listed in this Section V(B). These items include the standard forms, certifications, and assurances listed in the **General Section** of the SuperNOFA that are applicable to this funding (collectively, referred to as the "standard forms"). The standard forms can be found in Appendix B to

the **General Section** of the SuperNOFA. The remaining application items that are forms (*i.e.*, excluding such items as narratives), referred to as the non-standard forms can be found as Appendix C to this program section of the SuperNOFA: The items are as follows:

(1) Transmittal Letter that identifies what the research program funds are requested for, the dollar amount requested, and the applicant or applicants submitting the application. If two or more organizations are working together on the research, a primary applicant must be designated.

(2) Checklist and Submission Table of Contents (see Appendix C).

(3) The name, mailing address, telephone number, and principal contact person of the prime applicant. If you have consortium associates, sub-grantees, partners, major subcontractors, joint venture participants, or others contributing resources to your project, similar information must be provided for each of these entities.

(4) Completed Forms HUD-2880, Applicant/Recipient Disclosure/Update Report; Certification Regarding Lobbying; and/or SF-LLL, Disclosure of Lobbying Activities, where applicable.

(5) Completed Standard Forms SF-424, 424A, 424B, and other certifications and assurances listed in the **General Section** of the SuperNOFA and in Section VII(B) of this program section of the SuperNOFA.

(6) A detailed total budget with supporting cost justification for all budget categories of the Federal grant request. Use the budget format discussed in Section V(B)3(3), above. (See Appendix C.)

(7) A two-page (maximum) abstract containing the following information: The project title, the names and affiliations of all investigators, and a summary of the objectives, expected results, and study design described in the proposal.

(8) A project description/narrative statement addressing the rating factors for award of funding under this program section of the SuperNOFA. The narrative statement must be numbered in accordance with each factor for award (Rating Factors 1 through 5). The response to the rating factors should not exceed a total of 25 pages for each research topic area.

(9) Any important attachments, appendices, references, or other relevant information may accompany the project description, but must not exceed twenty (20) pages for the entire application.

(10) The resumes of the principal investigator and other key personnel. Resumes shall not exceed three pages

each, and are limited to information that is relevant in assessing the qualifications of key personnel to conduct and/or manage the proposed research.

(11) Copy of State Clearing House Approval Notification (see application kit to determine if applicable).

VII. Corrections to Deficient Applications

The **General Section** of the SuperNOFA provides the procedures for corrections to deficient applications.

VIII. Environmental Requirements

In accordance with 24 CFR 50.19(b)(1) and (5) of the HUD regulations, activities assisted under this program are categorically excluded from the requirements of the National Environmental Policy Act of 1969 (42 U.S.C. 4321) and are not subject to environmental review under the related laws and authorities.

IX. Authority

These grants are authorized under sections 1051 and 1052 of the Residential Lead-Based Paint Hazard Reduction Act of 1992, which is Title X of the Housing and Community Development Act of 1992.

Appendix A—Relevant Publications and Guidelines

To secure any of the documents listed, call the listed telephone number (generally, the telephone numbers are not toll-free).

Regulations

1. Worker Protection: OSHA publication—Telephone: 202-693-1888 (OSHA Regulations) (available for a charge)—Government Printing Office—Telephone: 202-512-1800 (not a toll-free number):

—General Industry Lead Standard, 29 CFR 1910.1025 (Document Number 869022001124). Can be downloaded from the Internet without charge from www.osha-slc.gov/OshStd_data/1910_1025.html.

—Lead Exposure in Construction, 29 CFR 1926.62, and appendices A, B, C, and D (Document Number 869022001141). Can be downloaded from the Internet without charge from www.osha-slc.gov/OshStd_data/1926_0062.html.

2. Waste Disposal: 40 CFR parts 260-268 (EPA regulations) (available for a charge)—Telephone 1-800-424-9346, or, from the Washington, DC, metropolitan area, 1-703-412-9810 (not a toll-free number). Can be downloaded from the Internet without charge from www.epa.gov/docs/epacfr40/chapt-I.info/subch-I/.

3. Lead: Requirements for Lead-Based Paint Activities in Target Housing and Child-Occupied Facilities: Final Rule: 40 CFR part 745, subparts L and Q (EPA) (State Certification and Accreditation Program for those engaged in lead-based paint activities)—Telephone: 1-202-554-1404

(Toxic Substances Control Act Hotline) (not a toll-free number). Can be downloaded from the Internet without a charge from www.epa.gov/opptintr/lead/index.html.

4. Requirements for Notification, Evaluation and Reduction of Lead-Based Paint Hazards in Federally Owned Residential Property and Housing Receiving Federal Assistance: Final Rule: 24 CFR part 35, subparts A through R, published September 15, 1999, at **Federal Register** pages 50201 through 50231 (HUD)—Telephone: 1-800-424-LEAD (National Lead Information Center). Can be downloaded from the Internet without a charge from www.hud.gov/lea/leadwnlo.html or www.epa.gov/lead/leadbase.htm.

5. U.S. Environmental Protection Agency. Lead: Identification of Dangerous Levels of Lead; Proposed Rule. **Federal Register**: 63 FR 30302-30355, June 3, 1998. TSCA Hotline: 202-554-1404 (not a toll-free number). Can be downloaded from the Internet without a charge from www.epa.gov/lead/leadhaz.htm.

Guidelines

1. Guidelines for the Evaluation and Control of Lead-Based Paint Hazards in Housing; HUD, June 1995, and amended September, 1997. (available for a charge)—Telephone: 800-245-2691. Can be downloaded from the Internet without a charge from www.hud.gov/lea/leadwnlo.html.

2. Preventing Lead Poisoning in Young Children; Centers for Disease Control, October 1991: Telephone: 888-232-6789.

3. Screening Young Children for Lead Poisoning: Guidance for State and Local Public Health Officials, November 1997; Centers for Disease Control and Prevention (CDC): Telephone: 888-232-6789. Can be downloaded from the Internet without a charge from www.hud.gov/lea/leadwnlo.html.

Reports and Articles

1. Putting the Pieces Together: Controlling Lead Hazards in the Nation's Housing. (Summary and Full Report); HUD, July 1995 (available for a charge)—Telephone 800-245-2691. Can be downloaded from the Internet without a charge from www.hud.gov/lea/leadwnlo.html.

2. Comprehensive and Workable Plan for the Abatement of Lead-Based Paint in Privately Owned Housing: Report to Congress; HUD, December 7, 1990 (available for a charge)—Telephone 800-245-2691.

3. A Field Test of Lead-Based Paint Testing Technologies: Summary Report (Summary also available); U.S. Environmental Protection Agency, May 1995. EPA 747-R-95-002a (available at no charge)—Telephone 800-424-5323. Can be downloaded from the Internet without a charge from www.epa.gov/lead/summary.txt.

4. Urban Soil Lead Abatement Demonstration Project. EPA Integrated Report, U.S. Environmental Protection Agency, April, 1996. EPA/600/P-93-001aF (available from National Technical Information Service (NTIS) for a charge)—Telephone 800-553-6847. An abstract and additional ordering information can be downloaded from the Internet without a

charge from www.epa.gov/nceawww1/lead.htm.

5. Luk, K.K., Grohse, P.M., Hodson, L.L., Binstock, D.A., Van Hise, C.C., and Gutknecht, W.F., "Standard Operating Procedures for the Field Analysis of Lead in Paint, Bulk Dust, and Soil by Ultrasonic, Acid Digestion and Colorimetric Measurement," EPA 600/R-93/200, U.S. Environmental Protection Agency, Research Triangle Park, NC, 1993. Available from the NTIS (NTIS #PB94-121738).

6. Williams, E.E., Van Hise, C.C., and Gutknecht, W.F., "Evaluation of the Performance of Reflectance and Electrochemical Technologies for the Measurement of Lead in Characterized Paints, Bulk Dusts, and Soils," EPA 600/R-95/093, U.S. Environmental Protection Agency, Research Triangle Park, NC, 1996. Available from the NTIS (NTIS #PB97-126437).

7. Grohse, P.M., Van Hise, C.C., Wilson, B.M., Luk, K.K., Binstock, D.A., and Gutknecht, W.F., "Standard Operating Procedure for the Field Analysis of Lead in Dust Collected by Vacuum and on Wipes by Ultrasonic, Acid Digestion, and Colorimetric Measurement," EPA 600/R-95/151, U.S. Environmental Protection Agency, Research Triangle Park, NC, 1998. Available from the NTIS (NTIS #PB98-140734).

8. Roberts, J.W., Crutcher, E.R., 3rd, Crutcher, E.R. 4th, Glass, G., and Spittler, T.M., "Quantitative Analysis of Road and Carpet Dust on Shoes," in Measurement of Toxic and Related Pollutants, Air & Waste Management Association, Pittsburgh, PA, (1996). pp. 829-835.

9. Roberts, J.W., Clifford, W.S., Glass, G., and Hummer, P.G., "Reducing Dust, Lead, Dust Mites, Bacteria, and Fungi in Carpets by Vacuuming," Arch Environ. Contam. Toxicol., 36, 477-484 (1999).

10. Ashley, K., "Ultrasonic Extraction and Field-Portable Anodic Stripping Voltammetry of Lead from Environmental Samples," *Electroanalysis*, 7, No. 12, 1995, p 1189.

11. Bornschein, R., Clark, S., Pan, W., and Succop, P. (1990) Midvale Community Lead Study. University of Cincinnati Medical Center Final Report.

12. Greene, T., Ernhart, C., and Boyd, T. (1992) "Contributions of Risk Factors to Elevated Blood and Dentine Lead in Preschool Children." *Science of the Total Environment*. 115(3):249-260.

13. Hunt, A., Johnson D.L., Watt, J.M., and Thornton, I. (1992) Characterizing the Sources of Particulate Lead in House Dust by Automated Scanning Electron Microscopy. *Environmental Science and Technology*. 26(8):1513-1522.

14. National Center for Lead-Safe Housing and University of Cincinnati Department of Environmental Health. (1997) Evaluation of the HUD Lead-Based Paint Hazard Control Grant Program: Fifth Interim Report. Washington, DC: U.S. Department of Housing and Urban Development.

15. Schwartz, J., and Levin, R. (1991) "The Risk of Lead Toxicity in Homes with Lead Paint Hazards." *Environmental Research*. 54(1):1-7.

16. Stark, A., Quah, R., Meigs, J., and Delouise, E. (1982) "The Relationship of Environmental Lead to Blood-Lead Levels in Children." *Environmental Research*. 27:372-383.

17. U.S. EPA. (1995) Seasonal Rhythms of Blood-Lead Levels: Boston, 1979-1983. EPA747-R94-003. Washington, DC: U.S. Environmental Protection Agency.

18. Yaffee, Y., C.P. Flessel, J.J. Wesolowski, A. Del Rosario, G.N. Guirguis, V. Matias, T.E. Degarmo and G.C. Coleman. 1983. Identification of lead sources in California

children using the stable isotope ratio technique. Arch. Env. Health. 38(4): 237-245.

19. Gwiazda, R., Woolard, D., and Smith, D. Improved lead isotope ratio measurements in environmental and biological samples with a double focussing magnetic sector inductively coupled plasma mass spectrometer (ICP-MS), J. Anal. At. Spect., 13:1233-1238, 1998.

20. Woolard D., Franks R., Smith D. An inductively coupled plasma-magnetic sector mass spectrometry method for stable lead isotope traces studies. J. Anal. At. Spectrom 13:1015-1019 (1998).

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22. K. Ashley, R. Song, C.A. Esche, P.C. Schlecht, P.A. Baron, and T.J. Wise, "Ultrasonic Extraction and Portable Anodic Stripping Voltammetric Measurement of Lead in Paint, Dust Wipes, Soil, and Air: An Interlaboratory Evaluation"; J. Environ. Monit., in press (1999).

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APPENDIX B -- Lead-Related Research; Current Projects as of September, 1999

Department of Housing and Urban Development (HUD)

Research on Lead Measurement and Sampling Methods

| No. | Title | Description |
|-----|---|--|
| 1 | Spot-Test Kit (STK) Performance Evaluation | Develop standard protocol for evaluating performance of commercially available STKs. Eight kits, including both sodium sulfide- and rhodizonate-based kits, will be evaluated using this protocol. |
| 2 | Development and Validation of XRF Performance Measurement Protocol | Protocol will allow independent 3 rd party performance testing of XRF paint analyzers and replace current system of testing a specific archived set of lead painted architectural components. |
| 3 | XRF Fast Mode Evaluation Protocol | Development of a method to assess and report on the performance of portable XRF paint analyzers in "fast mode". |
| 4 | Analysis of Dust Wipes Using Portable XRF Analyzers | The objective is to develop a standard methodology to assess the performance of portable XRF analyzers in measuring lead in dust wipes. |
| 5 | Sampling Lead Dust in Carpets and Upholstery | To compare the performance of 5 different methods (handwash, vacuum, wipe, adhesive label, and a "membrane" sampler) of sampling dust-lead from carpets and upholstery in homes of lead poisoned children. |
| 6 | Composite Sampling Study | Side-by-side single and composite dust lead wipe samples will be collected during clearance and risk assessment sampling at multiple study sites. |
| 7 | Enhancing the Sensitivity and Precision of Dust-Wipe Lead Samples by Increasing the Area of Sample Collection | A lab phase will assess the performance of thick and thin wipe materials. A field phase will assess the use of dust samples of two square feet vs. one square foot to improve method sensitivity. |
| 8 | Use of Portable Lead Analyzers to Reduce Clearance Dust Wipe Failure Rates | The feasibility of using field portable lead analysis methods to screen clearance dust wipe samples will be assessed in the field. |
| 9 | Develop a Method to Measure Residential Soil-Lead Using a Portable XRF Analyzer | Existing methods and protocol will be adapted to develop a method for analyzing residential soil for lead using a portable XRF Analyzer. |

Research on Lead Hazard Assessment Methods

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| 10 | Risk Assessment Method Validation Field Study | A 3-site field study to assess the predictive power of the HUD/EPA risk assessment and screening protocols (i.e., with respect to dust-lead and children's PbB levels). |
| 11 | Risk Assessment Method Validation Using Existing Data Sets | Data collected from two epidemiological studies of childhood lead exposure will be analyzed to assess the predictive power of the HUD/EPA risk assessment protocol. |
| 12 | Lead Hazard Assessment of Carpets | Examine transfer of particles from carpet to hands (conditioned and field samples), distribution of dust and lead within carpet pile, and potential exposure to particulate in "particle cloud" created when walking on carpet. |
| 13 | Lead Hazard of Upholstery | The primary objective is to assess the potential for exposure to dust-lead from upholstery (conditioned samples and field samples). |
| 14 | Lead Hazard Assessment of Residential Air Ducts Emissions | Laboratory phase will measure lead particle emissions from a simulated household ventilation duct system under varying conditions (air velocity, humidity, etc.). |
| 15 | LPB Inspection Protocols for Multifamily Housing | Statistical models will be developed and existing data will be analyzed to evaluate various inspection protocols for detecting and characterizing the presence of LBP in multi-family housing with a reasonable level of confidence. |
| 16 | Tracing Dust Lead to Residential Friction Surfaces | Dust samples will be analyzed by several different methods to estimate the contribution of lead-based paint dust from friction surfaces to the lead content of dust on interior residential surfaces. |
| 17 | Tracing Dust-Lead to Sources Using Lead Isotopic Composition Analysis | A fast, inexpensive method of lead isotopic analysis (inductively coupled plasma mass spectrometry; ICP-MS) will be used to identify sources of lead in house dust, and to estimate the fraction of children's blood-lead attributed to mobilization of bone-lead. |
| 18 | Lead Release From Demolition of Pre-1950 Inner-City Housing | Researchers will measure the release of lead into the surrounding neighborhood (sampling both airborne and settled dust) during the demolition of pre-1950 Baltimore row houses. |
| 19 | Accumulation Rate of Exterior Leaded Dust and Reducing Lead Bioavailability in Soils | Determine how quickly lead in exterior dust accumulates in mats placed at the entryways of urban row houses. Identify what factors contribute to high levels of lead in exterior dust. Study mixing organic compost into lead-contaminated soils to reduce the hazards. |

Lead Hazard Control Research

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| 20 | Effectiveness of Alternative Dust-Lead Cleaning Strategies | Compare the efficacy of non-phosphate cleaner vs. trisodium phosphate in cleaning floors and sills; compare the efficacy of household vacuums vs. HEPA vacuums on same surfaces. |
| 21 | Efficacy of Household Vacuums and a Nonphosphate Detergent in Reducing Lead Dust on Floors | Conduct lab testing of household vacuums to select 3 moderately priced vacuums for use in the field component of the study. Compare the performance of the household vacuums with a HEPA vacuum in cleaning lead-contaminated dust. Identify parameters predictive of performance. |
| 22 | Factors Affecting the Retention of Leaded Dust in Carpets | The research will identify major factors (e.g., pile height, fiber density, fiber coating) which affect the extent to which carpets can be cleaned of leaded dust in the laboratory and field. |
| 23 | Penetration of Particulate Through Vacuum Bags | Develop a method for laboratory testing of commonly available vacuum cleaner bags to determine their efficiency in trapping fine dust. |
| 24 | Deposition of Airborne Particulate Following Dust-Generating Activities | Researchers will examine the rate of leaded particulate deposition in a test room following activities which generate significant quantities of leaded dust. |
| 25 | Sealing Efficacy of Enclosures | Assess the potential for the migration of leaded dust through joints associated with enclosures in the laboratory. |
| 26 | Evaluation of the Effectiveness of Maryland Law (HB 760) | Maryland law requires periodic lead hazard control treatments in all pre-1950 rental housing within the state. This study will evaluate the effectiveness of the required treatments in reducing leaded dust. |
| 27 | Cleaning Lead Contaminated Dust from Hard Surfaces | The purpose of this research is to determine the effectiveness of various detergents in cleaning lead-contaminated dust from hard surfaces under varying conditions of wear and dust loading. |
| 28 | Monitoring HEPA Vacuum Dust Pick-up with an Aerosol Photometer | The objective of this research is develop a dynamic reading instrument that will indicate when a surface is sufficiently "clean" and thus reduce the rate of post-intervention clearance failures. |
| 29 | Ergonomic Risk factors for Lead Hazard Control Workers | Ergonomic risk factors in the lead hazard control industry will be identified through field observations and worker interviews. |
| 30 | Reducing Hazards of Lead-Contaminated Urban Soils | Assess low cost methods to reduce the hazard posed by lead-contaminated yard soils in an urban, low income neighborhood. Control methods focus on application of soil contact barriers, including bark mulch, crushed stone, and improved grass and plant cover. |
| 31 | Reducing Lead Levels in Urban Sidewalk Dust | Assess ways to reduce levels of lead in dust on inner-city sidewalks. Examine treatments to stabilize deteriorated lead-based paint on building exteriors; conduct regular sidewalk and street cleaning. |

Research on Long-term Effectiveness of Lead Hazard Control Interventions

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| 32 | Evaluation of HUD Lead Hazard Control Grant Program | Assess the efficacy of various interim control and abatement techniques (based on blood-lead and dust-lead levels) as employed by 14 state and local grantees expected to enroll about 2,900 units |
| 33 | Extension to the Baltimore Repair and Maintenance Study | Compare the effectiveness of three levels of interim control interventions (capped at \$1,650, \$3,500, and \$7,000, respectively) applied to structurally sound inner-city Baltimore row houses. |
| 34 | Reaccumulation of Dust-Lead Following Cleaning (TLC study homes) | Follow-up dust-wipe sampling in urban homes from the "Treatment of Lead-Poisoned Children" study to determine the rate of reaccumulation of dust-lead following professional cleaning interventions by themselves or in combination with minor repairs. |
| 35 | Evaluation of Treatments Required by Maryland Lead-Based Paint Risk Reduction | Evaluate the effectiveness of the risk reduction measures prescribed in Maryland law, HB 760, in bringing the levels of lead dust on floors, window sills, and window troughs down to acceptable levels. |
| 36 | Evaluation of the Milwaukee Lead Hazard Control Ordinance | Assess the law requiring low level lead hazard control treatments (focusing on windows) in all pre-1950 rental units in 2 high risk neighborhoods by recruiting infants, with subsequent 2-year follow-up (dust-Pb and blood-Pb). Assess the effect on blood-Pb by screening in treatment and control neighborhoods. |

Survey Research

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| 37 | National Survey of Lead and Allergens in Housing | Samples are being collected from a nationally representative sample of 750 housing units; lead samples include dust wipes, vacuum samples (carpets), soil, and <i>in-situ</i> XRF testing. NIEHS-funded component will involve vacuum dust sampling for allergen identification. |
| 38 | Lead Hazard Awareness Supplement to the December 1999 Current Population Surveys | Approximately 42,000 households will be questioned on their awareness of lead hazards, sources of knowledge of lead hazards, testing of homes and household members for lead exposure, lead hazard reduction practices, and receipt of disclosure information. |
| 39 | Lead Module for the 1999 American Housing Survey | Respondents to the 1999 American Housing Survey will be asked about paint deterioration on the interior and exterior of their dwelling, repairs and renovations where lead-based paint may have been disturbed, and the receipt of disclosure among recent movers. |

APPENDIX C

The non-standard forms, which follow, are required for your Lead Hazard Control Research application.

Checklist and Submission Table of Contents

Lead Hazard Control Research NOFA

The following checklist is provided to ensure that you have submitted all of the required items in order for you to receive consideration for funding under this NOFA. Applicants must check off each item that they have included in their submission package and note the corresponding page number where the response is located. Applicants are to include this Checklist and Submission Table of Contents with the proposal. Application pages must be consecutively numbered.

| <u>Check Off</u> | | <u>Page Number</u> |
|--|--|--------------------|
| <input type="checkbox"/> Transmittal Letter | | Cover page |
| <input type="checkbox"/> Checklist And Submission Table Of Contents (this form) | | p. ____ |
| <input type="checkbox"/> Project Abstract (limited to 2 pages) | | p. ____ |
| Application Forms | | |
| <input type="checkbox"/> Standard Form 424 and SF 424A Section B | | p. ____ |
| <input type="checkbox"/> Total Budget (Federal Share and Matching) | | p. ____ |
| <input type="checkbox"/> HUD 2880 Disclosure and Update Report | | p. ____ |
| <input type="checkbox"/> HUD 50070 Drug-Free Workplace Certification | | p. ____ |
| <input type="checkbox"/> HUD 50071 Certification of Payments to Influence Federal Transactions | | p. ____ |
| <input type="checkbox"/> Form SF-LLL Disclosure of Lobbying Activities Required | | p. ____ |
| <input type="checkbox"/> Form SF-LLL not required. | | |
| <input type="checkbox"/> HUD 2992 Certification of Status Regarding Debarred Applicants | | p. ____ |
| <input type="checkbox"/> Standard Form 424B (Assurances/Non-Construction Programs) | | p. ____ |
| Response to Rating Factors/Project Description (limited to 25 pages) | | |
| <input type="checkbox"/> 1. Capacity of the Applicant and Relevant Organizational Experience | | p. ____ |
| <input type="checkbox"/> 2. Needs/Extent of the Problem | | p. ____ |
| <input type="checkbox"/> 3. Soundness of Approach | | p. ____ |
| <input type="checkbox"/> 4. Leveraging/Partnerships | | p. ____ |
| <input type="checkbox"/> 5. Comprehensiveness and Coordination | | p. ____ |
| Appendices (if applicable) | | |
| <input type="checkbox"/> Appendix 1 - Material in support of Rating Factors 1 through 5 | | p. ____ |
| <input type="checkbox"/> Appendix 2 - Other materials related to the application | | p. ____ |
| <input type="checkbox"/> HUD 2993 Acknowledgment of Application Receipt | | p. ____ |

Budget Summary

Name and Address of Applicant

Detailed Description of Budget (for full grant period)

Prepared 01/11/2000